Department of Veterans Affairs

One-VA Enterprise Architecture Program Management Plan

Version 4.2

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Table of Contents

1 INTRODUCTION 1

1.1 BACKGROUND 1
1.2 PURPOSE 1
1.3 RELATIONSHIP OF THE EA-PMP TO THE VA ENTERPRISE ARCHITECTURE 2
1.4 EXECUTIVE SUMMARY OF PMP 2
1.4.1 PMP Synopsis 2

2 MOTIVATION: THE NEED FOR A ONE-VA ENTERPRISE ARCHITECTURE 4

2.1 ONE-VA INFORMATION TECHNOLOGY ARCHITECTURE ALIGNED WITH BUSINESS GOALS. 4
2.2 VA ENTERPRISE ARCHITECTURE MISSION, GOALS, AND OBJECTIVES 4

3 THE ONE-VA ENTERPRISE ARCHITECTURE PROGRAM ENVIRONMENT 12

3.1 INTRODUCTION 12
3.2 APPLICABILITY 12
3.3 OVERVIEW OF THE VA GOVERNANCE AND ENTERPRISE ARCHITECTURE GOVERNANCE 13
3.3.1 VA's Information Technology Planning Process 14
3.3.2 Overall VA Enterprise Architecture Governance 17
3.4 ROLES AND RESPONSIBILITIES OF VA'S CHIEF ENTERPRISE ARCHITECT 18
3.5 INTEGRATING VA'S ENTERPRISE ARCHITECTURE WITH VA'S INFORMATION TECHNOLOGY CAPITAL PLANNING AND PROJECT APPROVAL PROCESSES 20
3.6 CAPITAL PLANNING 21
3.7 INTEGRATING VA'S ENTERPRISE ARCHITECTURE WITH PROGRAM EXECUTION 21
3.7.1 VA Chief Enterprise Architect: 21
3.7.2 Health, Benefits and Memorial Affairs Architects: 22
3.7.3 Health, Benefits and Memorial Affairs Development Directors and Project Managers / Project Chief Engineers: 23
3.8 INTEGRATED EVALUATION AND ASSESSMENT PROCESS 24
3.8.1 Initiating Project Assessment and Selection 26
3.8.2 Assessing Progress (Execute and Control Phase) 28
3.8.3 Completing the Project Assessment (Evaluate Phase) 29
3.9 DEVELOPING POLICY FOR VA'S ENTERPRISE ARCHITECTURE 30
3.10 Configuration Management and Change Control within the Enterprise Architecture Program

4 INFORMATION TECHNOLOGY PLANNING 31

4.1 SCOPE MANAGEMENT 31
4.1.1 Applicability 31
4.1.2 Scope 31
4.1.3 Project Decision Authority Oversight 32

5 INFORMATION TECHNOLOGY PROJECT EXECUTION AND MONITORING 37

5.6 THE CAPITAL PLANNING PROCESS AND ITS RELATIONSHIP TO THE ONE-VA EA AND THE PROJECT MANAGEMENT OVERSIGHT PROCESS 39

6 QUALITY MANAGEMENT/CONFIGURATION MANAGEMENT 42

6.1 OVERVIEW 42
6.2 QUALITY REQUIREMENTS 45
6.3 QUALITY PLANNING 45
6.4 QUALITY ASSURANCE 45

6.5 QUALITY CONTROL 46
6.6 QUALITY IMPROVEMENT 46
6.7 CONFIGURATION MANAGEMENT PLANNING 47
6.7.1 Purpose 47
6.7.2 Application Configuration Management Plans 47
6.7.3 Configuration Management Elements 47

7 RISK MANAGEMENT 50

7.1 OVERVIEW 50
7.2 RISK IDENTIFICATION 52
7.3 RISK ASSESSMENT/QUANTIFICATION 52
7.4 PROJECT CONTROL BOARD (PCB) EVALUATION 53
7.5 RISK ALLOCATION 53
7.6 RISK MITIGATION 53
7.7 ONGOING IDENTIFICATION OF RISK 54

APPENDIX A – MILESTONE DECISION BRIEFINGS PROJECT MANAGER'S CHECKLIST 55

APPENDIX B – MILESTONE DECISION BRIEFINGS TEMPLATE 60

APPENDIX C – INFORMATION TECHNOLOGY REVIEWS 68

MILESTONE 0 – PROJECT INITIATION APPROVAL 68
MILESTONE I – PROTOTYPE DEVELOPMENT APPROVAL 68
MILESTONE II – SYSTEM DEVELOPMENT APPROVAL 69
MILESTONE III – SYSTEM DEPLOYMENT APPROVAL 70
MILESTONE IV – POST IMPLEMENTATION REVIEW 70

Table of Figures

FIGURE 2-1: LOGICAL MODEL FOR THE APPLICATIONS LAYER OF THE TARGET ONE-VA ENTERPRISE ARCHITECTURE ..7

FIGURE 3-1: VA'S GOVERNANCE FRAMEWORK (I.E., STRUCTURES AND PROCESSES) 14
FIGURE 3-2: VA'S ENTERPRISE ARCHITECTURE GOVERNANCE STRUCTURE 17
FIGURE 3-3: VA'S ARCHITECTURE ALIGNMENT AND ASSESSMENT PROCESS 20
FIGURE 3-4: VA'S CAPITAL PLANNING PHASES 25
FIGURE 3-5: VA'S INFORMATION TECHNOLOGY INITIATIVE ASSESSMENT PROCESS 26
FIGURE 3-6: VA'S MONITORING IN-DEVELOPMENT PROJECTS (EXECUTE/CONTROL PHASE) 28
FIGURE 3-7: VA'S ASSESSMENT OF COMPLETED PROJECTS (EVALUATE PHASE) 29
FIGURE 5-1: THE INTEGRATED PROCESS FLOW FOR VA INFORMATION TECHNOLOGY PROJECTS 38
FIGURE 5-2: THE SHIFTING PROJECT FOCUS THROUGHOUT THE LIFE CYCLE OF AN IT PROJECT 39
FIGURE 5-3: PROJECT MANAGEMENT OVERSIGHT RELATIONSHIP TO THE BUDGET CYCLE; NOMINAL SCHEDULE OF MAJOR EVENTS 40
FIGURE 6-1: QUALITY MANAGEMENT / CONFIGURATION MANAGEMENT OVERSIGHT COORDINATION 43
FIGURE 6-2: QUALITY RISK FACTORS 43
FIGURE 6-3: CONFIGURATION MANAGEMENT ELEMENTS 48
FIGURE 7-1: RISK MANAGEMENT OVERSIGHT COORDINATION 50
FIGURE 7-2: RISK FACTOR MATRIX 53

Table of Tables

TABLE 3-1: PROGRAM ASSESSMENT CRITERIA 27
TABLE 4-1: ONE-VA EA COMPLIANCE REQUIREMENTS AND THE PROJECT MANAGEMENT OVERSIGHT: 35
TABLE 4-2: ONE-VA EA COMPLIANCE REQUIREMENTS AND THE CAPITAL INVESTMENT PLANNING PROCESS 36

1 Introduction

1.1 Background

The Clinger-Cohen Act of 1996 (Public Law 104-106) assigns the Chief Information Officer (CIO) with the responsibility to develop, maintain and facilitate the implementation of an enterprise architecture.

1.2 Purpose

This document establishes the One-VA Enterprise Architecture (EA) Program Management Plan (PMP). VA is approaching Enterprise Architecture as a continuous improvement process. This document defines the processes and approach that allow for the integration of Enterprise Architecture processes, Capital Planning and Budgeting processes, and Project Management Oversight processes of the VA. The One-VA EA Program Management Plan serves as the mechanism for formalizing the execution of the One-VA EA Program as a continuous improvement process, and as such, many of the processes established by this plan will repeat on a regular update cycle. This plan will also establish the One-VA EA compliance and enforcement processes and procedures.

In particular this document will formalize the following aspects of the One-VA Enterprise Architecture program:

- The plan delineates actions to develop, use, and maintain the EA including management control and oversight;
- The plan ensures that EA is clearly addressed in the capital planning and investment process;
- The plan ensures that processes are established that produce a coordinated, clear set of objectives and guidance for executing projects;
- The plan establishes clear compliance criteria and non-compliance consequences for executing projects;
- The plan documents the development processes and management practices for building the target EA products;
- The plan documents the development processes and management practices for creating the sequencing plan, and populating the EA repository;

- The plan documents the roles and responsibilities of the enterprise wide organizations such as the Enterprise Architecture Council (EAC), Enterprise Information Board (EIB), Strategic Management Council (SMC), and the allocation of functions to executing programs;

- The plan ensures that the continuous improvement process of review, validation, refinement and updates to the One-VA Enterprise Architecture is clearly documented;

- The plan documents the process that allows for the identification of gaps from the existing to the "Target" architecture.

1.3 Relationship of the EA-PMP to the VA Enterprise Architecture

The EA Program Management Plan is the mechanism for transforming the agency from the "As Is" to the "To Be" architecture. The EA PMP defines the management structure, control, and the set of management processes that drive the enterprise from the baseline to the target architecture.

1.4 Executive Summary of PMP

1.4.1 PMP Synopsis

The following list provides a brief description, where needed, of each of the chapters in this document.

Chapter 2: Motivation: The Need for a One-VA Enterprise Architecture. This chapter describes the need for the One-VA Enterprise Architecture and the alignment of IT investments with the business drivers, goals, and objectives.

Chapter 3: The One-VA Enterprise Architecture Program Environment. This chapter provides an overview of the structures (i.e., organization) and processes (i.e., activities) of overall VA governance, describes the structure and processes of VA's Enterprise Architecture governance and how it fits into overall VA governance.

Chapter 4: Information Technology Planning. This chapter defines the scope of the One-VA Enterprise Architecture from an overall perspective as the primary authoritative resource within the Department for enterprise IT. It also specifies the applicability of the One-VA EA for all IT projects to key processes across the Department including Capital Planning, Budgeting,

Project Management Oversight and the day-to-day execution of Information Technology projects.

Chapter 5: Information Technology Execution and Monitoring. This chapter discusses the One-VA Enterprise Architecture in relationship to Information Technology execution and monitoring processes. This includes milestone reviews, a project manager's perspective and compliance.

Chapter 6: Quality Management/Configuration Management. This chapter describes the processes required to ensure the EA program will satisfy the needs for which it was designed. Topics include quality planning, quality assurance and quality control.

Chapter 7: Risk Management. This chapter describes the steps/processes required to ensure that the probability and consequences of adverse events to EA project objectives are minimized. These processes include Risk Identification, Risk Assessment/Quantification, Risk Allocation and Risk Management.

2 Motivation: The Need for a One-VA Enterprise Architecture

2.1 One-VA Information Technology Architecture Aligned with Business Goals.

VA is committed to functioning as a unified department providing One-VA veteran customer centered delivery of service to our nation's veterans and their beneficiaries. The effective and efficient use of current and emerging technology, in conjunction with a rigorous commitment to meeting veteran service objectives and VA business requirements, in support of the VA's business operations will ensure that we meet the One-VA goal. The primary purpose of the One-VA EA is to *inform*, *guide* and *manage* the decisions of the enterprise, especially as they pertain to IT investments. The VA's EA mission is to "develop and implement an evolutionary, high-performance One-VA information technology architecture aligned with our program/business goals that enables enterprise-wide data integration."

The One-VA EA presents a planned approach to the development of information technology horizontally across the enterprise, which fosters coordination and integration, and is fundamentally driven by the veteran service objectives and by the business needs of the enterprise. It fosters the evolution to a component and services orientation; an approach that facilitates easier, quicker responsiveness to changing business needs and advances in technology. This architecture identifies integration points and interdependencies between components that are driven by cross-functional business needs and executive management objectives. The One-VA EA is not a product or activity with a specific arbitrary end date; it is an ongoing program, subject to a continuous improvement process, and intended to keep the VA's IT aligned with the critical needs of the Department's mission.

2.2 VA Enterprise Architecture Mission, Goals, and Objectives

The mission of the VA's Enterprise Architecture is to develop and implement an evolutionary, high-performance One VA information technology architecture aligned with the VA program/business goals that enables enterprise-wide data and process integration.

The VA's Enterprise Architecture will enable the Department to provide an accessible source of consistent, reliable, accurate, useful, and secure information and knowledge to veterans and their families, our workforce, and stakeholders to support effective delivery of services and benefits, enabling effective decision-making and understanding of our capabilities and accomplishments. The Enterprise Architecture will support the VA's strategic goals.

The goals and objectives of the VA's Enterprise Architecture are to ensure that:

1. Veterans will feel that we know who they are, we will answer their questions about their issues, we will effectively provide end-to-end services without frustrating them, they will have access to our systems for their own needs, and they will believe that VA staff and systems are here to serve and honor them.

    - Self-service by Internet and phone will be available to veterans, 24 hours a day, 7 days a week.

    - Applications for benefits will be able to be submitted by veterans through the Internet.

    - Telephone service and information centers will be enhanced to enable easy access to information and services.

    - Kiosks will be installed to provide access to information about benefits and services.

2. The VA will implement a One VA information framework supporting cost-effective data integration and information sharing across program/business lines to provide a "single" source of consistent, reliable, accurate, timely, and secure information to veterans and their families, employees, and other stakeholders.

    - Veterans will never have to register with VA more than once.

    - Veteran information will be available anywhere, anytime, to any authorized user in real time.

    - Telemedicine use will be enhanced to improve timeliness and quality of care for veterans and maximize remote provider consultation.

    - Enterprise Architecture will foster the organization and presentation of all relevant patient data in a way that directly supports clinical decision-making and program analysis. Timely access to clinical information by VA staff from multiple sites of care is paramount to ensure prompt service, continuity, and quality care.

    - Common and core data will be shared by the VA's operating elements, ensuring accessibility and avoiding redundancy.

    - Sharing and use of information with the VA's external partners will be enhanced. The partners include: the Social Security Administration; the Department of Defense; Health and Human Services; and other federal, state, and local governments; educational institutions; lending institutions; and other program/businesses.

- The VA information systems will be high-performance systems that meet or exceed exemplary standards in businesses and government agencies.

- Information systems characteristics will be adaptable, scalable, extensible, standards-based, open systems, maintainable, reliable, secure, component-based, common services oriented, best appropriate technology, veteran-connected, and principle-based.

VA Goal 5 (E-1): Provide One-VA world-class service to veterans and their families through the effective management of people, technology, processes, and financial resources

The CIO's Information Technology goals that follow ensure that the Secretary's goals, especially the enabling goal, will be supported with innovative, disciplined and practical application of information technology.

IT Goal 1: Implement One-VA Enterprise Architecture.
IT Goal 2: Implement a One-VA data network.
IT Goal 3: Secure the One-VA enterprise against Cyber Attack.
IT Goal 4: Establish a disciplined, non-bureaucratic project management structure.
IT Goal 5: Establish effective metrics to measure performance.
IT Goal 6: Implement an effective Command and Control, COOP and COG infrastructure.
IT Goal 7: Shape the VA IT workforce to support the target One-VA EA.

2.3 Target Architecture Logical Model

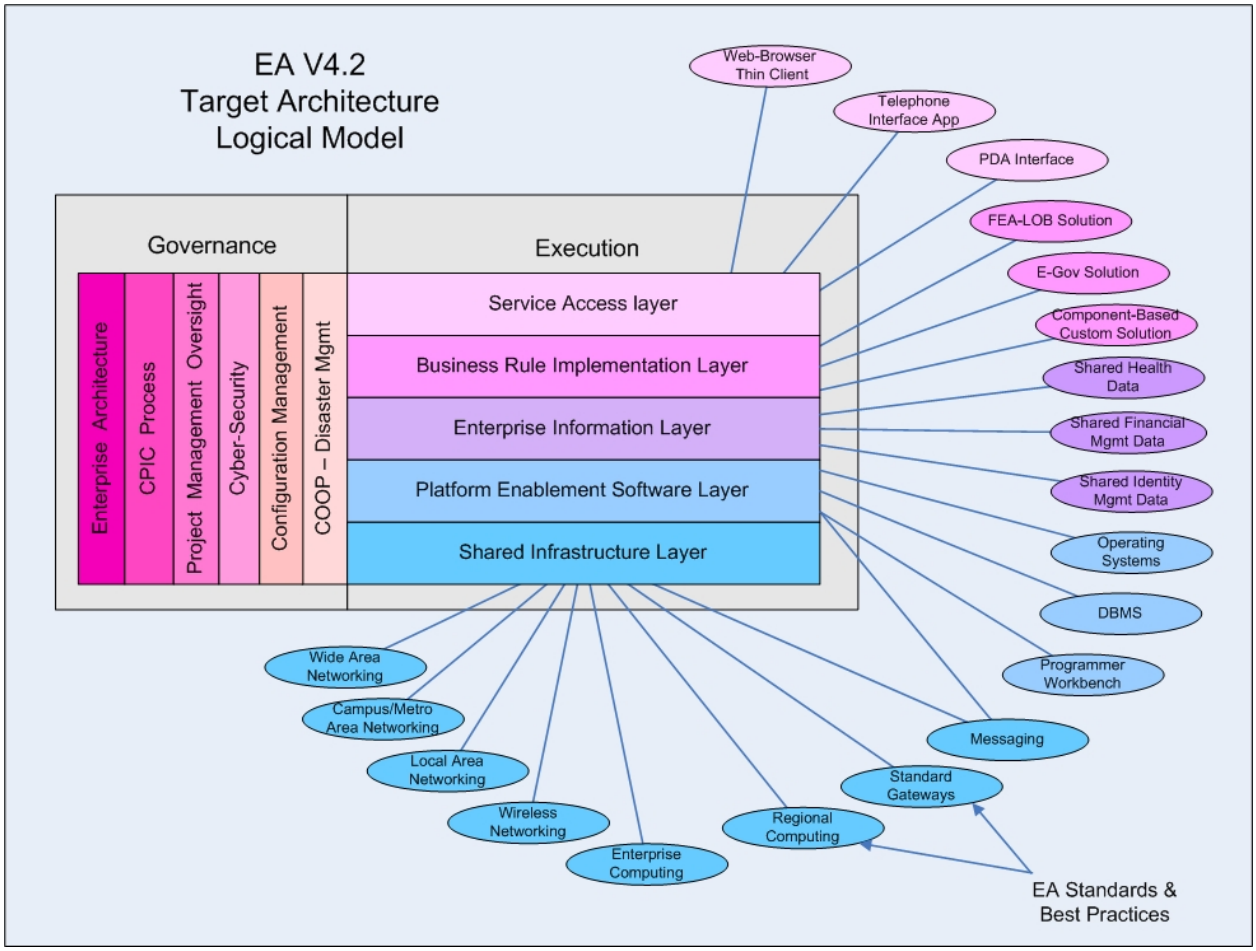


Figure 2-1: Target Architecture Logical Model of the One-VA Enterprise Architecture V4.2

Target Architecture Structure

The Target architecture consists of portfolio projects that are just completing, or currently underway, as well as projects in planning and projects contemplated for the near future. These projects are organized into the five layers identified in the Target Architecture Logical Model. These five layers are described directly below. Additionally the four governance disciplines (i.e. Enterprise Architecture, Cyber security, Configuration Management, and COOP Disaster Management), identified within the Target Architecture Logical Model, are applied throughout the design and development of all projects within each layer.

Shared Infrastructure Layer

This Target Architecture layer describes the facilities, hardware and network infrastructure that support IT operations and services. It includes: the VA Intranet, with its external gateways, firewalls, DMZs, server complexes, data centers and client workstation networks. Several key transformations to VA's Shared infrastructure layer are being completed within this year, and others are underway.

At this time the following projects are being implemented:

- The telecommunications modernization plan (TMP) has completed Milestone-4. This system is fully deployed and currently provides centrally managed and monitored Wide Area Network telecommunications services across VA's Intranet.
- VA's Integrated Security Program has eliminated 120 independent external network gateways across the intranet with a system of six standardized, fire-walled and centrally-monitored external network gateways, under configuration management, for general VA use. Standardized, centrally-monitored DMZ configurations are also in place to protect critical data and processes from network intrusion;
- Centralized network intrusion detection and remediation services are provided by a Security Operations Center that is integrated with the Network Operations Center and with a cadre of local, certified Information security officers (ISOs) to provide uniformly managed rapid response to external threats;
- Activities are progressing to integrate and standardize COOP and disaster recovery capabilities between VA's three corporate data centers;
- VA's Exchange Consolidation Program is in the process of consolidating hundreds of de-centralized Microsoft Exchange messaging servers into 26 regional locations, in phase-1 of a two-phase program. Eventually this program will result in all messaging being managed from six locations. The Exchange Consolidation has also standardized email addressing conventions across the enterprise;
- VA's Wide-Band radio frequency transition program is actively integrating VA's emergency response radio network from wide-band analog to narrow-band digital transmission by the federally mandated dates.

Additional, new initiatives are beginning which will increase VA's ability to provide centrally managed, standardized core services across the enterprise:

- The Enterprise Telephony Initiative is analyzing the feasibility and benefits of providing Voice over IP services across the VA Intranet;
- The VA IPV6 Transformation Project plans to provide complete IPV6-compatibility across the VA Intranet before September 2008. IPV6 will

provide expanded application functionality, user authentication and user location capabilities;

- The Regional Computing Initiative is planning to consolidate the more sophisticated local computing services into regional data centers. This will reduce cost by consolidation critical skill sets in a reduced number of locations.

Platform Enablement Software layer

This Target Architecture layer consists of the operating system software, DBMS software, network operating system software, and related COTS products, required to exploit and control the capabilities of VA's infrastructure. Projects underway within this layer include:

- During 2004, VA eliminated the last of its Windows legacy desktop operating environments; Today approximately 44 percent of VA's 220,000 windows workstations have been upgraded to the Windows-XP version, with the remainder scheduled for conversion between now and September 2006;
- VA's Windows server population is currently being upgraded from the Win-2000-Server to the Win-2003 operating system. This activity is part of normal operation and maintenance and is not represented by a separate capital investment;
- VA is also in the process of assuring that its NOS network component operating system install-base is capable of supporting the IPV6 (as well as the IPV4) service stack;
- VA's use of the PCHS-III commodity purchase contract and the GSA SmartBuy program will standardize COTS software license acquisition and maintenance renewal, eliminate software license duplication, and minimize software acquisition cost, while reducing the administrative overhead in software license procurement.

Enterprise Information layer

Several projects are underway to standardize information across VA, and to create sharable common data stores for general use by all business lines:

- The Registration & Eligibility program is developing the requirements for a single authoritative source of identity management, demographic and service history data for use by all VA business lines, through a common sharable data store;
- The Health Data Record (HDR) project is creating a standardized, sharable electronic health data record which will be shared across VISNs

to make veteran health information available at any VA facility where the veteran may appear to receive services;

Other VA projects are standardizing information shared by VA and other government Departments:

- Working with the DoD/JR&IO (Joint Requirements & Integration Office), VA is substantially reducing the number of independent data feeds passed between DoD and VA and will reduce this traffic to one feed in each direction;
- The DoD/VA Benefits Executive Council has developed plans for modifying or replacing VA legacy systems to receive veteran identification information from a single authoritative source; these projects will appear in the BY-2008 portfolio.
- The Bidirectional Health data record (BHIE) and Federal Health Data record (FHIE) projects are standardizing health information definition across VA and DoD;
- Under the CDR/HDR interoperability initiative, the DoD and VA are developing sharable software components that will permit the DoD Composite Health Care System (CHCS II) and the VA/HealtheVet to exchange clinical data so that both DoD and VA beneficiaries receive seamless care.
- The VA Health Language Version-7 (HL7) Initiative keeps VA's approach to health information definition and recording in line with the industry HL7 standard, and assures that VA remains at the vanguard of clinical information systems;

VA's data Architecture service, under the office of Enterprise Architecture Management, is developing a data registry and data definition governance process which will regulate the creation of data definitions, properties and attributes, and through communities of interest, will enforce data sharing and reuse across the Department:

- This program is currently developing a pilot, involving identity management and veteran demographics data.

Business Rule Implementation layer

When contemplating the replacement of an existing system, or the creation of a new system, VA first assures that the supported business process has been re-engineered for efficiency and effectiveness. Then VA attempts to find an existing capability, such as an FEA e-gov or FEA-LOB solution that can fulfill the requirement. If a solution is not readily available, VA will develop a new

system from sharable, reusable components. The following elements of the business rule implementation layer are currently in development:

- VA's new government employee travel support system, launched in this budget year, is an implementation of the PMA e-travel solution;
- VA will deploy an enterprise-level employee training management system by January 2007. This system is an implementation of the PMA e-Training solution, it replaces a variety of stove-piped legacy training systems;
- VA's replacement payroll system, scheduled to deploy in January 2008 is an implementation of the PMA e-payroll solution, it will support VA's Title-5 and Title-38 employees;
- VA's Registration Eligibility initiative is collecting requirements to develop a common registration information collection system which will support all VA business lines;
- EA V4.1 recommends that VA launch an enterprise-wide Electronic Records Management initiative, utilizing the PMA e-Records-Management solution.

Service Access Layer

VA's current information delivery standard calls for a three tiered Java-based thin-client development strategy which requires only a generic web-browser on the client-system to complete the user interface;

- VA is currently standardizing the look and feel and configuration management methodology for all VA web activity;
- VA has a strict policy in place, supported by a testing lab, to assure that all VA web products are Section-508 compliant for accessibility.
- Another VA-wide initiative will standardize Web content management across the enterprise.

During the next cycle of the EA, VA will extend its development of a component-based architecture by identifying common web services with corresponding standard interfaces that can be acquired or developed as sharable, reusable components. These components will be documented in VA's shareable component registry and will be used in the future development of sharable component-oriented web applications, across all VA business lines. Some typical areas for sharable component exploitation include:

- Web-site Search Functions;
- Application Access Services;

Web Content Management Services

3 The One-VA Enterprise Architecture Program Environment

3.1 Introduction

This chapter presents an overview of the structures (i.e., organization) and processes (i.e., activities) of overall VA governance, describes the structure and processes of VA's Enterprise Architecture governance and how it fits into overall VA governance. The roles and responsibilities of VA's:

- Enterprise Information Board (EIB);
- Chief Enterprise Architect;
- Enterprise Architecture Council; as well as the
- Integration of the Enterprise Architecture with the Capital Planning and Investment Control (CPIC) process; and the
- Integration of Enterprise Architecture with the Information technology Investment and Project Approval Processes.

3.2 Applicability

All VA systems will be included within the Department's Enterprise Architecture. VA will develop, follow, and enforce policies and procedures that define and maintain its Enterprise Architecture. VA's Enterprise Architecture governance organization and processes will mature over time and various levels of detail will be developed for different categories of systems. Systems will be engineered to a degree and timetable as deemed appropriate by the project sponsors and project managers in concert with the CIO, acting through the Enterprise Information Board. Typical categories of projects to be included in this process include, but are not limited to:

- Computing infrastructure and networks,
- Legacy applications,
- New and continuing Information Technology applications,
- New business process engineering or business process re-engineering initiatives,
- Ad hoc/demand systems required for special/specific short-term needs, and
- Stand-alone applications

All systems will be reported. The project's scope, impact and demands on infrastructure, cost, data sharing, interoperability, and the projects interface requirements within and outside VA will also determine the required level of detail to be reported.

3.3 Overview of the VA Governance and Enterprise Architecture Governance

In May 2001, the Secretary approved the establishment of a new VA governance framework. The purpose of this framework is to establish the structure, process, and procedures for the development of recommendations for the Secretary regarding policy, planning, and management of issues. This framework establishes a process for reviewing the implementation of new initiatives and program performance in key areas. It also establishes two new forums (also called "fora"). The first is VA's Executive Board (VAEB), chaired by the Secretary. The second forum is the Strategic Management Council (SMC), chaired by the Deputy Secretary. The Council has broader membership and is responsible for reviewing all major policy and management issues, assessing options, and making recommendations to the Secretary through VA's Executive Board.

As Chair of VA's Executive Board, the Secretary reviews and approves VA's Enterprise Architecture, the membership of the Enterprise Information Board, changes to this Strategy Governance and Implementation document, and new initiatives associated with the Enterprise Architecture. The composition, roles and responsibilities, and objectives of the Strategic Management Council and under it the Enterprise Information Board, which is the information technology initiative review board for the Department, is discussed later on in this chapter.

Full participation of VA's program/business and information technology communities is essential for VA's Enterprise Architecture to be successful. The governance process ensures that the Enterprise Architecture is kept current and becomes part of VA's overall decision-making processes. To contribute effectively to VA's mission and strategic goals, and improve the delivery of benefits, services, and information to the veteran, the governance of VA's Enterprise Architecture must flow from VA's corporate governance and be aligned with it.

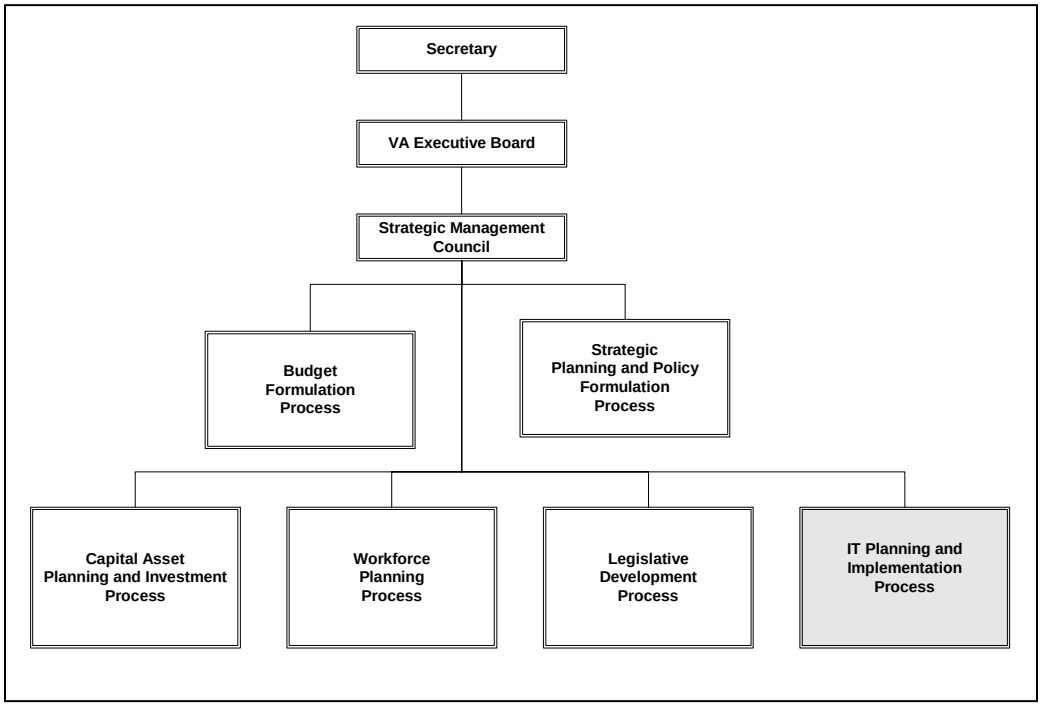


Figure 3-1: VA's Governance Framework (i.e., Structures and Processes)

Figure 3-1 summarizes the organizational structure of overall VA governance and the processes that support it. The Enterprise Architecture governance processes are part of VA's governance processes for information technology and, as such, are incorporated within the existing VA governance framework as indicated by the highlighted box in Figure 3-1 with one exception. The Chairman of the Strategic Management Council will take Enterprise Architecture matters directly to the Secretary for approval unless the Secretary, the Deputy Secretary, or an Under Secretary determines that the matter requires a review by the VA Executive Board.

The processes and structures of VA Enterprise Architecture governance are designed to leverage overall VA governance processes and structures. VA's Enterprise Architecture governance consists of a collaborative structure that includes full participation by VA's program/business and information technology communities. This degree of participation from both VA program/business and VA information technology communities is critical to the successful implementation, maintenance, and long-term relevance of information technologies and Enterprise Architecture in VA.

3.3.1 VA's Information Technology Planning Process

The core of VA Enterprise Architecture governance is the information technology planning process established by the Secretary. The information technology planning process is responsible for aligning information technology with the program/business needs and strategic goals of VA. The information technology planning process strives for

a total collaboration of program/business with information technology, and consists of the following three functions or processes:

- Enterprise Architecture
- Capital Planning
- Project Management Oversight

The information technology planning process supports the review of information technology investment proposals for compliance with VA's Enterprise Architecture. The Enterprise Information Board oversees this process. The Assistant Secretary for Information and Technology (who is also VA's Chief Information Officer), as the process owner of the information technology planning process, is the steward responsible and accountable for creating, leveraging, coordinating, and implementing VA's Enterprise Architecture. The Enterprise Information Board is co-chaired by the Assistant Secretary for Information and Technology and a Deputy Under Secretary, or their designated senior executive, from one of the three Administrations on a yearly rotational basis. The members of the Enterprise Information Board include VA's Deputy Chief Information Officers, senior program/business executives from each administration and staff office, and the Chief Technology Officer. The Enterprise Information Board will meet twice monthly on the Thursday following each Strategic Management Council meeting. As shown in Figure 3-2, this board is accountable to VA's Strategic Management Council and ultimately to the Secretary with the VA Executive Board meeting only if required.

Administration-specific committees that report to their Under Secretaries also link into the Enterprise Information Board and thereby participate in VA's technology governance processes. The objectives and responsibilities of the Enterprise Information Board are as follows:

Objectives:

- Ensure the VA Enterprise Architecture's alignment with and integration with program/business goals and processes.
- Ensure adequate funding and commitment to initiatives and the enterprise information technology infrastructures.
- Ensure adherence to VA's Project Management Oversight Process (i.e., Milestone Review Process)

Responsibilities include:

- Developing and recommending to the Strategic Management Council the direction for VA's Enterprise Architecture.
- Establishing and communicating the executive direction for the use of information technology.
- Ensuring the interests of program/business and information technology representatives from all major VA entities are considered in VA's Enterprise Architecture.
- Ensuring a viable integrated VA Enterprise Architecture is in place covering a rolling multi-year period.
- Ensuring that the Enterprise Architecture is current and provides complete and accurate descriptions of the baseline environment, the target vision, and the sequencing plan to take VA from the baseline (sometimes called "as-is") to the target (sometimes called "to-be") environments.
- Ensuring the suitability and consistency of technology investments with VA's Enterprise Architecture and strategic objectives.
- Ensuring that the information technology planning process addresses sociological change management, security, project management, and capital investment as well as VA Enterprise Architecture concerns.
- Conducting milestone reviews within VA's Project Management Oversight Process.

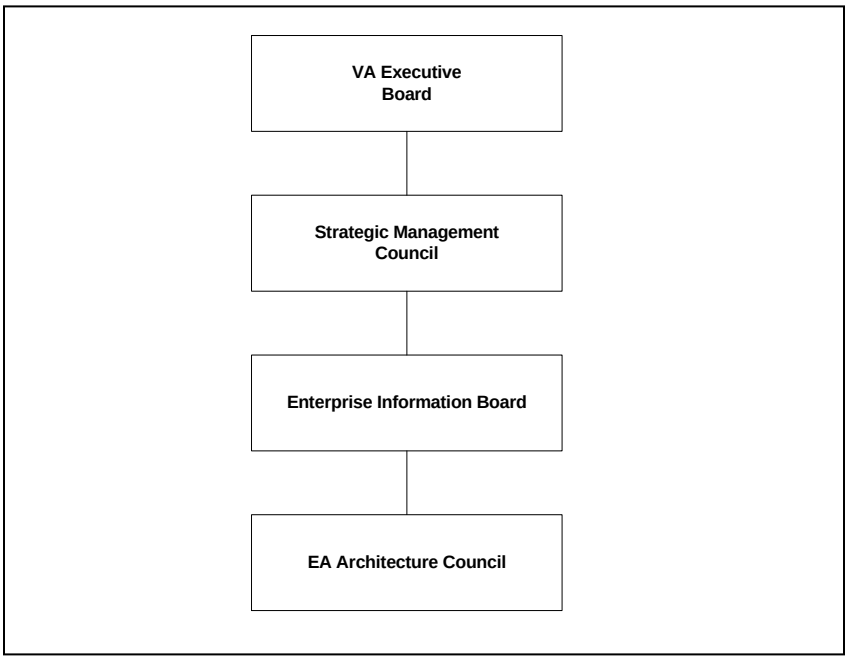


Figure 3-2: VA's Enterprise Architecture Governance Structure

3.3.2 Overall VA Enterprise Architecture Governance

The purpose of Enterprise Architecture governance is to manage, control, and monitor Enterprise Architecture activities and progress. Figure 3-2 illustrates the structure of the VA's Enterprise Architecture governance. This organization structure, its processes and procedures, and its roles and responsibilities, facilitate and advance the performance of VA's Enterprise Architecture.

The role of the Enterprise Architecture Council is to oversee and guide Enterprise Architecture issues for the Department, and continuously develop and refine VA's Enterprise Architecture to meet changing veteran needs, strategic goals, and the incorporation of new technologies. This Council is chaired by VA's Chief Architect and is composed of business representatives from each administration and staff office, and the Chief Enterprise Architects of the Deputy Chief Information Officer's organizations and staff offices. The Enterprise Architecture Council reports to VA's Enterprise Information Board for information technology planning process purposes. The Enterprise Architecture Council responsibilities include three processes: the Enterprise Architecture executive steering process, Enterprise Architecture business management process; and the Enterprise Architecture compliance education and enforcement process. The Chief Enterprise Architect is the process owner.

3.4 Roles and Responsibilities of VA's Chief Enterprise Architect

The VA's Enterprise Architecture is a formal program initiated and endorsed by the Secretary of the Department of Veterans Affairs. As such, the program warrants a formal management structure, within the Office of VA's Chief Information Officer, consisting of information technology experts, program/business experts, and technologists. The major component of this management structure is the Office of Enterprise Architecture Management which is by the VA Chief Enterprise Architect. The Chief Enterprise Architect provides management and support of the Enterprise Architecture and reviews proposed projects for Enterprise Architecture compliance. The term "compliance" when applied to the VA's Enterprise Architecture is not binary but represents different degrees of alignment to the VA's Enterprise Architecture in terms of program/business objectives and technical standards.

The VA's Chief Enterprise Architect reports to the VA's Chief Information Officer. The Chief Architect is the principal advisor to the DAS/IT, and the AS/IT on VA's enterprise architecture (EA), and oversees and manages the development, design, and implementation of the IT standards, and strategic planning policy of the Department's EA activities as required by the Clinger-Cohen Act. The Chief Enterprise Architect is responsible for leading the development of the VA's Enterprise Architecture and ensuring the integrity of the architectural development processes and the content of the Enterprise Architecture products. The Chief Enterprise Architect is the ombudsman to the information technology and program/business line units, and ensures that program/business unit processes are emphasized in the Enterprise Architecture. The Chief Enterprise Architect is also responsible for ensuring that the Enterprise Architecture provides the best possible information and guidance to information technology projects and stakeholders, and that systems development efforts are properly aligned with program/business unit requirements.

The VA's Chief Enterprise Architect is also the manager of the VA's Office of Enterprise Architecture Management. In this role, the Chief Enterprise Architect has management responsibility for the Enterprise Architecture Program, with the authority, responsibility, and accountability for the overall Enterprise Architecture effort. In this regard, the Chief Enterprise Architect is responsible for the planning, staffing, and the ultimate success of the Enterprise Architecture Program, including acquisition of sustaining funding, negotiating schedules, and the timely and accurate delivery of the Enterprise Architecture products (or "artifacts").

The Chief Enterprise Architect, in collaboration with the Enterprise Information Board will periodically refine the schedule and enhance the requirements for more comprehensive reporting, and in collaboration with the system owners, define the category of the system and the expected impact on VA Enterprise Architecture. There will be a sequencing of systems into the VA Enterprise Architecture; the first being those that are considered mission-critical, followed concurrently by in-process, new, and legacy systems.

The core competencies of the Chief Enterprise Architect include leadership skills, a comprehensive knowledge of Enterprise Architecture and requisite skills, and critical understanding of the role and relationship of information technology to supporting the programs/businesses of the VA. The Chief Enterprise Architect must be an effective communicator who can bridge the cultural differences that often exist between the program/business and systems organizations, and among agencies, and facilitate interaction and cooperation.

The Chief Enterprise Architect provides a high-level project management framework for the VA's Enterprise Architecture project portfolio; and facilitates the evaluation and management of project, people, program/business, and technology risks and contingency plans, for the portfolio of information technology projects in the VA. The Chief Enterprise Architect also provides consulting advice to help ensure appropriate Enterprise Architect and project management tools, processes, and best practices will be used for project planning and management, and facilitates the collection and publishing of project metrics and status reporting on a consistent basis for all information technology projects within the VA.

The Chief Enterprise Architect is responsible for defining and managing the change management process, which includes changes to Enterprise Architecture products, processes, and technologies. The VA's Chief Enterprise Architect also advises senior managers of the potential human impacts involved in VA's Enterprise Architecture and information technology changes, including change planning, management, and communication processes in planning and implementing projects as defined in Enterprise Architecture sequencing plans.

It is also recommended that a Project Management Office be established in the Office of the Chief Information Officer. The Project Management Office will provide a consistent Departmental approach for project and risk management and serve as a source of expertise to program/business unit project teams, facilitate project risk management, evaluation, and contingency planning for people, program/business, and technology risks for the portfolio of information technology projects in the VA.

The Project Management Office will provide tools, training, and consulting advice to help ensure that appropriate project management tools, processes, and best practices are used for project planning and management, as well as, publishing project metric and status reporting on a consistent basis for all projects within the VA. The Project Management Office will also provide oversight and early warning of changes or slippages in project schedule, functionality, or deliverables that will impact other projects including those in the VA's Enterprise Architecture sequencing plan.

3.5 Integrating VA's Enterprise Architecture with VA's Information Technology Capital Planning and Project Approval Processes

Compliance with VA's Enterprise Architecture is a critical success factor. Full participation from both VA program/business and information technology communities is also an important factor to VA's Enterprise Architecture implementation and long-term relevance. Linking VA's Enterprise Architecture alignment review with VA's capital planning process is necessary to achieve the full benefits of both the Enterprise Architecture and information technology investments. Investment proposals often reflect changes in the organization's program/business functions as well as providing a window to technology advancements. This information is valuable as a feedback loop to VA's Enterprise Architecture planning and development function because the architecture must be changed to reflect current program/business functions and advances in technology must be considered when updating the Enterprise Architecture.

The integration of all three factors (i.e., program/business, technology, and investment) is illustrated in Figure 3-3, which shows that VA's Enterprise Architecture process guides the Department's capital planning yields information that guides changes to the Enterprise Architecture. This interaction results in Architecture Alignment and Assessment, thus VA's Enterprise Architecture facilitates the integration and alignment of program/business, technology, and investment.

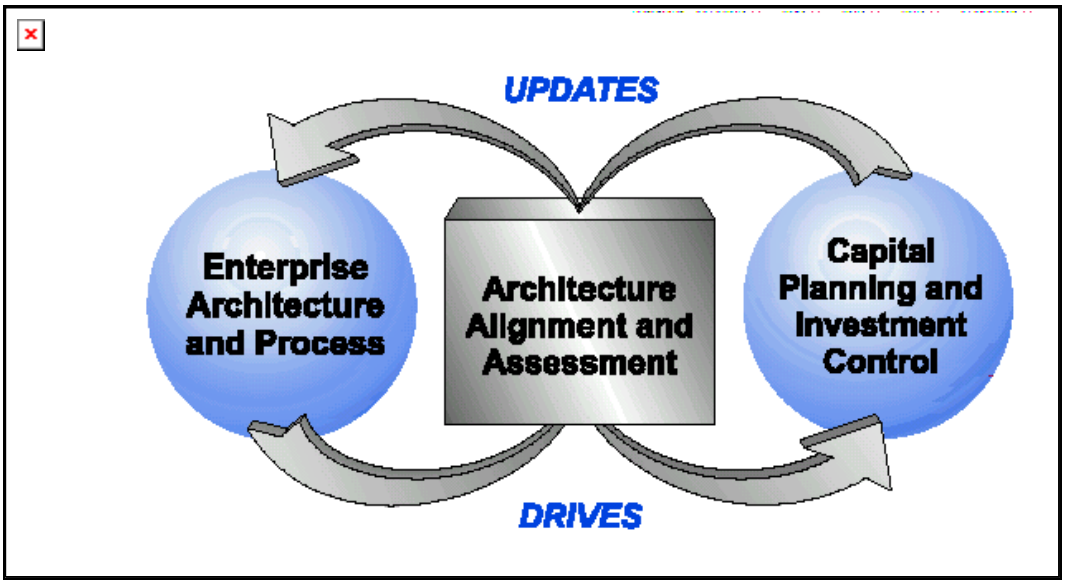


Figure 3-3: VA's Architecture Alignment and Assessment Process

3.6 Capital Planning

As previously described, proposed initiatives, with Enterprise Information Board recommendation, are submitted to the Strategic Management Council for review, and to the VA's Executive Board for approval, modification, or rejection as part of the information technology planning process. The Chief Enterprise Architect will continue to evaluate and review Strategic Management Council approved information technology initiatives for the VA Enterprise Architecture compliance.

Recognizing that full compliance will have to be phased in over time, if the Chief Enterprise Architect determines that a project does not comply with the VA's Enterprise Architecture, the Chief Enterprise Architect will recommend a remediation plan to the Enterprise Information Board to bring the project into alignment. If, at any time, the Chief Enterprise Architect believes a project does not comply with the VA's Enterprise Architecture, the Chief Enterprise Architect will recommend to the Enterprise Information Board that the initiative be terminated, suspended, or redefined.

The Chief Enterprise Architect will provide the Enterprise Information Board and Strategic Management Council with regular reports concerning all approved projects focusing on its overall VA Enterprise Architecture outcome and progress, as well as required project management, security, and organizational change concerns.

3.7 Integrating VA's Enterprise Architecture with Program Execution

The third and final element of linking VA's Enterprise Architecture to key Department processes is linking it to the execution of projects not only at milestone decision points but also throughout their execution. Compliance can be addressed as either a reactive inspection process or as a proactive process fully integrated with the project execution from the earliest stages of planning onward. VA has chosen this proactive approach. To affect this, clear relationships must be established between the Chief Enterprise Architect, Architects within the Deputy CIO offices, and System Developers.

The Chief Architect has primary responsibility for the Enterprise Architecture and alignment of program/business, technology, and investment. The Architects within each of the three DCIO offices have responsibility for ensuring alignment of all activities within their DCIO organizations to the Enterprise Architecture, as well as the vertical alignment of IT activities within their respective areas. Their responsibilities as they relate to the One-VA Enterprise Architecture are as follows.

3.7.1 VA Chief Enterprise Architect:

The responsibilities of the VA Chief Enterprise Architect are as follows:

- Establish the overall Department policies for development, sustainment and implementation of the One-VA Enterprise Architecture.

- Plan, program, budget and oversee the execution of all funding allocated across the Department for Enterprise Architecture as well as architectural initiatives undertaken within the DCIO organizations.

- Chair the Enterprise Architecture Council (EAC) and through the EAC, lead Departmental efforts to develop and maintain the One-VA Enterprise Architecture.

- Ensure compliance with the One-VA Enterprise Architecture across all projects contained within the VA IT Portfolio. Identify any issues of non-compliance to the CIO. This includes all stages of a project life cycle from initiation to containment in service. It includes formal evaluation of compliance at Project Milestone reviews as well as regular interaction with the CIO, Architects and Development organizations between formal Milestone reviews.

- Ensure the identification of all common data, services, integration points and interdependencies among projects within the IT portfolio and the proper synchronization of projects to accommodate those interdependencies across the overall IT portfolio. Identify any project integration or synchronization issues to the CIO.

- Lead the development of any centrally managed applications layer projects that provide common services horizontally to other elements of the IT portfolio.

3.7.2 Health, Benefits and Memorial Affairs Architects:

The responsibilities of the Health, Benefits and Memorial Affairs Architects are as follows:

- Represent the interests of the VA CIO and Chief Architect within the administrations in ensuring adherence within their organizations to the Department policies for implementation of the One-VA Enterprise Architecture.

- Represent the interests of the business lines within the administrations in the establishment of procedures for developing, implementing, and sustaining the One-VA Enterprise Architecture. Ensure adherence within their organizations to those procedures.

- Provide planning, programming, budgeting and spend plan input to the Chief Architect for architectural initiatives undertaken within the DCIO organizations. Execute approved spend plans for all architectural activities within their DCIO organizations.

- Serve as the architectural representative to the EAC for the interests of the business lines within the administrations in the development and evolution of the One-VA Enterprise Architecture.

- Proactively engage with the leadership of the DCIO office development organization and Project Managers / Chief Engineers on individual development projects to ensure compliance with the One-VA Enterprise Architecture across all projects being executed in their respective development organizations. This includes all stages of a project life cycle from initiating the project to sustaining the resulting system in production service. It specifically includes direct involvement in early planning and establishment of project schedules and the identification of specific areas of detailed involvement by the Architects in the design process. The objective is to ensure alignment with the One-VA Enterprise Architecture and its logical and physical distributed systems architecture throughout the design, development and integration process. It also includes formal evaluation of compliance at Project Milestone reviews. When issues of non-compliance arise that cannot be rapidly resolved, they must be identified to the Chief Architect (with parallel notification to their respective DCIO).

- Proactively engage with the leadership of the DCIO office development organization and Project Managers / Chief Engineers on individual development projects to ensure the identification of all common data, services, integration points and interdependencies among projects executing within their DCIO organization, both internally to other projects within the organization and with other external projects executing elsewhere in the Department or outside of the Department. Ensure proper synchronization of projects to accommodate those interdependencies. Identify any project integration or synchronization issues to the VA Chief Architect (with parallel notification to their respective Administration CIO).

3.7.3 Health, Benefits and Memorial Affairs Development Directors and Project Managers / Project Chief Engineers:

The responsibilities of the Health, Benefits and Memorial Affairs Development Directors and Project Managers / Project Chief Engineers are as follows:

- Proactively engage with their respective DCIO office Architect, and through them with the VA Chief Architect to ensure their development projects are adequately reflected in the development and evolution of the One-VA Enterprise Architecture.

- Proactively engage with their respective DCIO office Architect and through them with the VA Chief Architect to ensure compliance with the One-VA Enterprise Architecture across all projects being executed in their respective

development organizations. This includes all stages of a project life cycle from initiating the project to sustaining the resulting system in production service. It specifically includes ensuring direct involvement of the DCIO Office Architect in early planning and establishment of project schedules and the identification of specific areas of detailed involvement by the Architects in the design process. The objective is to ensure alignment with the One-VA Enterprise Architecture and its logical and physical distributed systems architecture throughout the design, development and integration process. It also includes formal evaluation of compliance at Project Milestone reviews.

- Proactively engage with their respective DCIO office Architect, and through them with the VA Chief Architect to ensure the identification of all common data, services, integration points and interdependencies among projects executing within their DCIO organization, both internally to other projects within the organization and with other external projects executing elsewhere in the Department or outside of the Department. Ensure proper synchronization of projects to accommodate those interdependencies.

The Enterprise Architecture Council is the forum in which the One-VA Enterprise Architecture is being developed and maintained and therefore it provides the natural venue in which the VA Chief Architect and the Health, Benefits and Memorial Affairs Architects will discharge the responsibilities described above.

Some of the responsibilities described above however extend beyond the purview of the EAC and into the detailed integration of Enterprise Architecture into the execution of the individual projects within the overall IT portfolio. In those areas a subset of the EAC comprised of the VA Chief Architect and the Health, Benefits and Memorial Architects will be required to work directly with the heads of the DCIO based development organizations and the their project level PMs and chief engineers to proactively engage in the integration of individual executing projects into the overall evolving distributed systems architecture across the VA IT portfolio.

3.8 Integrated Evaluation and Assessment Process

The VA will continuously assess the effectiveness and efficiency of its Enterprise Architecture. The VA will use a balanced measures approach to review progress and results associated with Enterprise Architecture development and implementation. As such, VA will measure outcomes, process management, program/business and technical alignment, customer satisfaction, employee satisfaction, and other factors.

The evaluation process will consider the phases of the *Architecture Alignment and Assessment Guide* developed by the Chief Information Officer Council and the *Information Technology Investment Management Framework provided by the* General Accounting Office. These phases of analysis are shown in Figure 3-4.

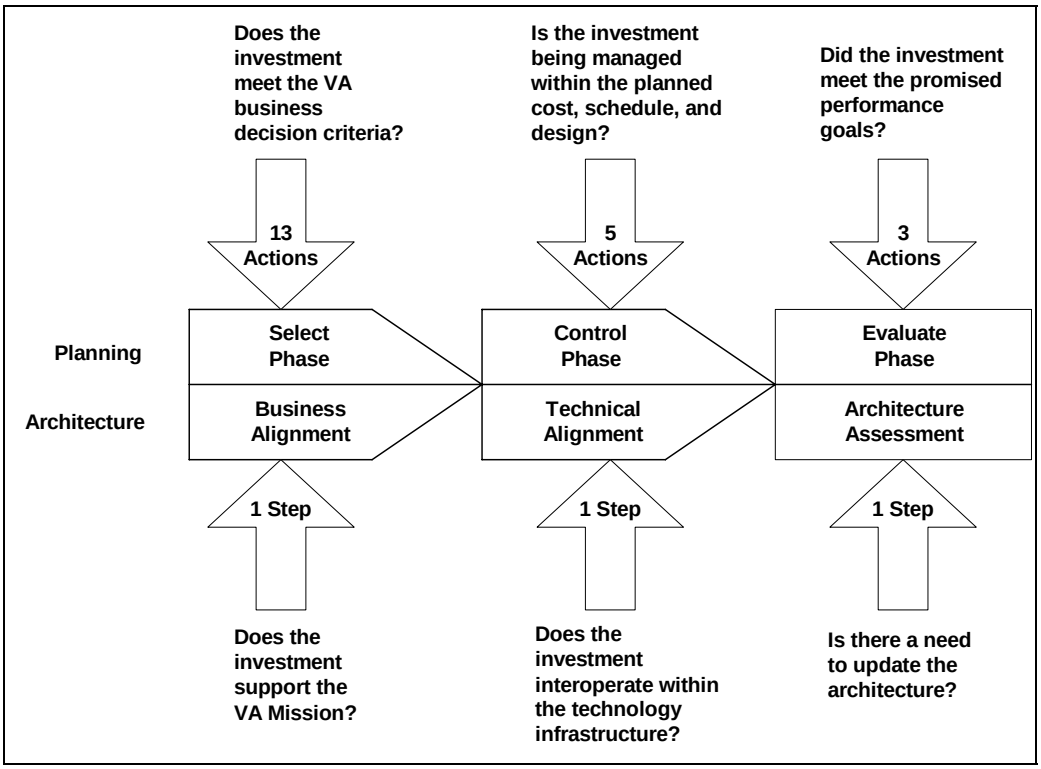


Figure 3-4: VA's Capital Planning Phases

As *previously described*, the Department will use the information technology planning process and capital planning processes to ensure that information technology investments consistently support strategic goals. All information technology projects must align with the Department's mission and support Departmental program/business needs while minimizing risks and maximizing returns throughout the investment's life cycle. The target architecture and the sequencing plan provide information for the three phases of the capital planning and investment control process, (i.e., select, control, and evaluate) as follows:

1. In the Select Phase, the VA evaluates the proposed investments to determine if they meet program/business decision criteria.

2. In the Control Phase, program/business and technical Enterprise Architecture compliance is monitored. Additionally, investments should be monitored as it evolves over time to ensure continued alignment as the VA's strategy and program/business focus.

3. In the Evaluate Phase, a final assessment is performed to determine technical and strategic compliance with the VA's Enterprise Architecture, as well as document lessons learned, feedback on project management and estimating accuracy, and organizational impacts. The results, including findings of noncompliance, should influence strategic and tactical planning for new program/business and information technology projects (which could then lead to changes in the VA's Enterprise Architecture).

The VA will accomplish progress toward the target architecture through programs and projects. New and follow-on projects are initiated and selected, executed and controlled, and completed and evaluated. Every step in this process requires specific measures.

3.8.1 Initiating Project Assessment and Selection

Figure 3-5 depicts the information flow when a project is initiated. It serves as a guide through the cycle of proposal preparation, aligning the proposed project with VA's Enterprise Architecture, and making the decision to fund the effort. The information flow ensures that requirements are being addressed and that a proposed implementation meets expectations and requirements.

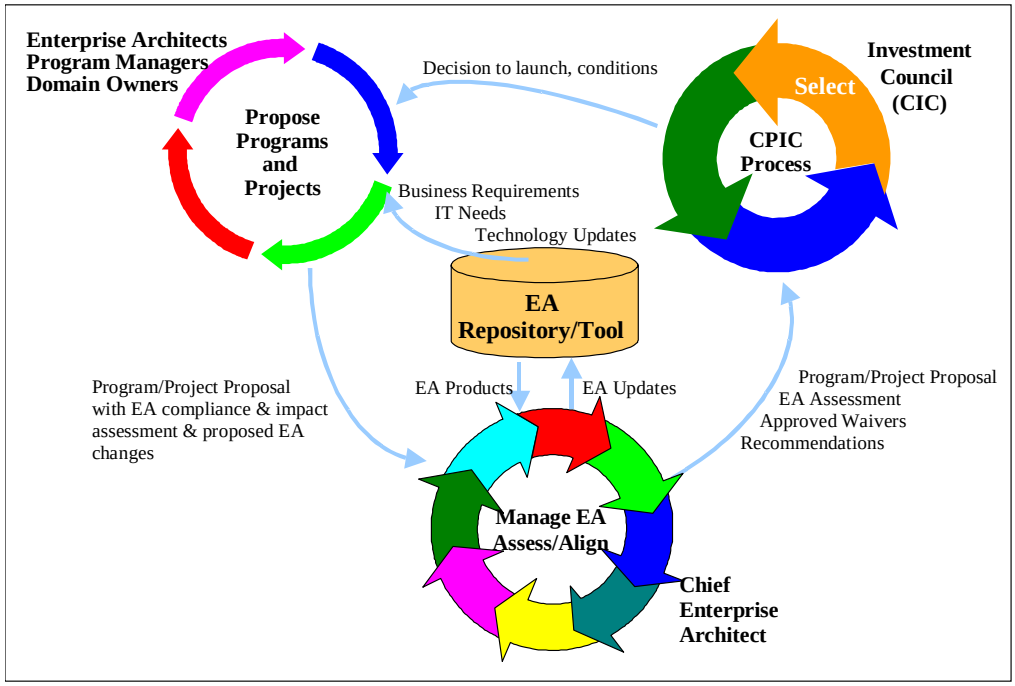


Figure 3-5: VA's Information Technology Initiative Assessment Process

Table 3-1 describes the main types of assessments that occur. In the initial phase of defining and selecting a project, the emphasis is on the program/business alignment,

program/business case solution, location in the sequencing plan, and to a limited degree technical compliance. As the proposed project's concept matures, program/business and technical compliance are more equally addressed.

Type of Enterprise Architecture Reviews	Review Purpose/Goal
Program/business alignment assessment	Determine if the proposed project aligns with the VA's strategic plans, goals, values, and objectives. The goal of the review is to ensure that the expected outcomes of the project are aligned to program/business and high-level VA Enterprise Architecture requirements.
Program/business and technical case solution	Examine the proposed solution, at a high level, to determine the impact on the organization's information technology environment. The goal of the review is to ensure that the proposed solution supports both the program/business and technical architecture.
Sequencing plan assessment	Determine whether the proposed investment is consistent with the sequence and priorities in the VA's Enterprise Architecture and information technology plans. The goal of the review is to ensure progress toward the target architecture.
Architecture alignment assessment	Determine whether the architecture of the proposed solution complies with the enterprise standards (including security), VA's Enterprise Architecture, and project methodologies. The goal of this review is to ensure VA's Enterprise Architecture compliance of information technology projects.
Security architecture assessment	Determine that the proposed solution is compliant with VA standards and policies to ensure confidentiality, integrity, and availability.
Post-implementation assessment	Compare performance promised in the initial proposal, program/business case, and requirements to actual performance of the systems in production. Evaluate the ROI to validate estimated benefit.

Table 3-1: Program Assessment Criteria

Upon assessing the project's compliance with the VA's Enterprise Architecture, the VA's Chief Enterprise Architect will make recommendations and provide support to help bring non-compliant proposals into compliance. In cases where a waiver has been requested, the Chief Enterprise Architect will respond with an independent assessment of

operational, economic, productivity, and other impacts of granting such a waiver, and make a recommendation to the Enterprise Information Board.

3.8.2 Assessing Progress (Execute and Control Phase)

The Chief Enterprise Architect is responsible and accountable to the Enterprise Information Board for maintaining VA Enterprise Architecture compliance once funding is committed and a project is initiated. Figure 3-6 depicts the information flow as the project cycles through the integrated VA Enterprise Architecture, systems life cycle, and capital planning and investment control processes. A project will pass through this cycle multiple times. There are continuous periodic interactions between the project implementers and the architecture governance process with more formal reviews at prescribed milestones.

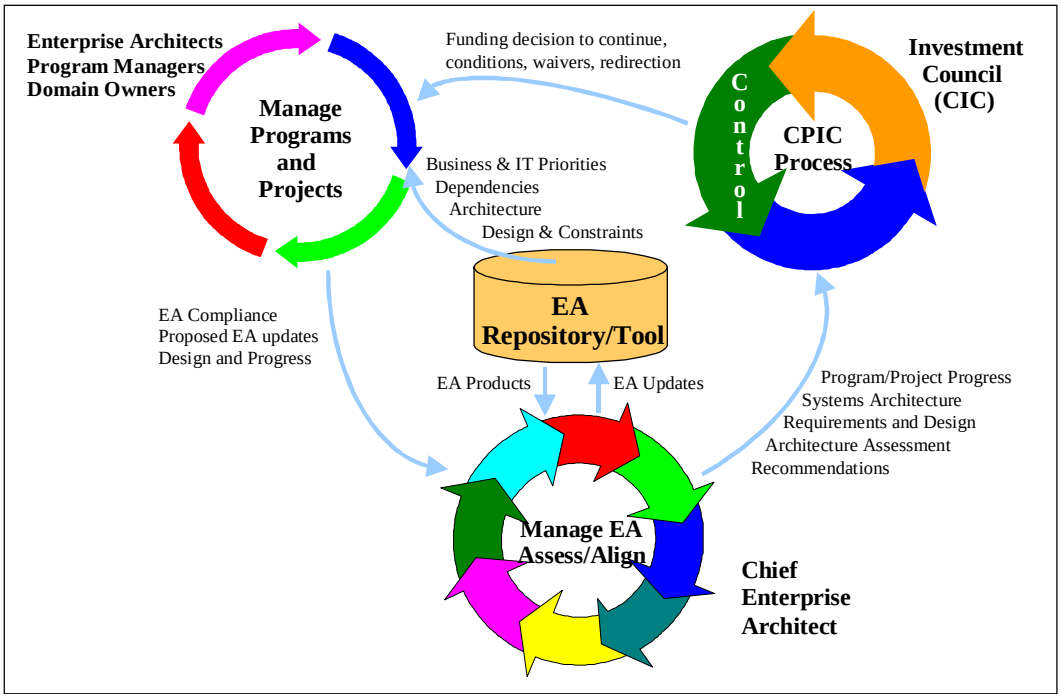


Figure 3-6: VA's Monitoring In-Development Projects (Execute/Control Phase)

In the control phase, assessment assures that the investment is being managed within the planned cost, schedule, design, and the VA Enterprise Architecture compliance. Status and deliverable information is provided by the project management process. The Chief Enterprise Architect and Enterprise Information Board (EIB) will use this information as the basis for recommendations and decisions about continued funding, refocus, imposition of development constraints, technical modifications, or possible redirection of technical efforts. This is necessary to manage and mitigate risks, because other investment decisions rely on analysis of progress reports and compliance assessments to

arrive at implications on the total cost, schedule, and performance of the overall VA Enterprise Architecture.

3.8.3 Completing the Project Assessment (Evaluate Phase)

Most projects are interdependent with other development projects and legacy systems. Many require additional increments of capability or modifications provided by additional operations and maintenance efforts. When the project is complete, there is a final assessment of impacts on the Department, VA's Enterprise Architecture, program/business operations, other projects in the sequencing plan, and consequently future investment and funding decisions. Figure 3-7 shows the information flow upon completion of a program or project.

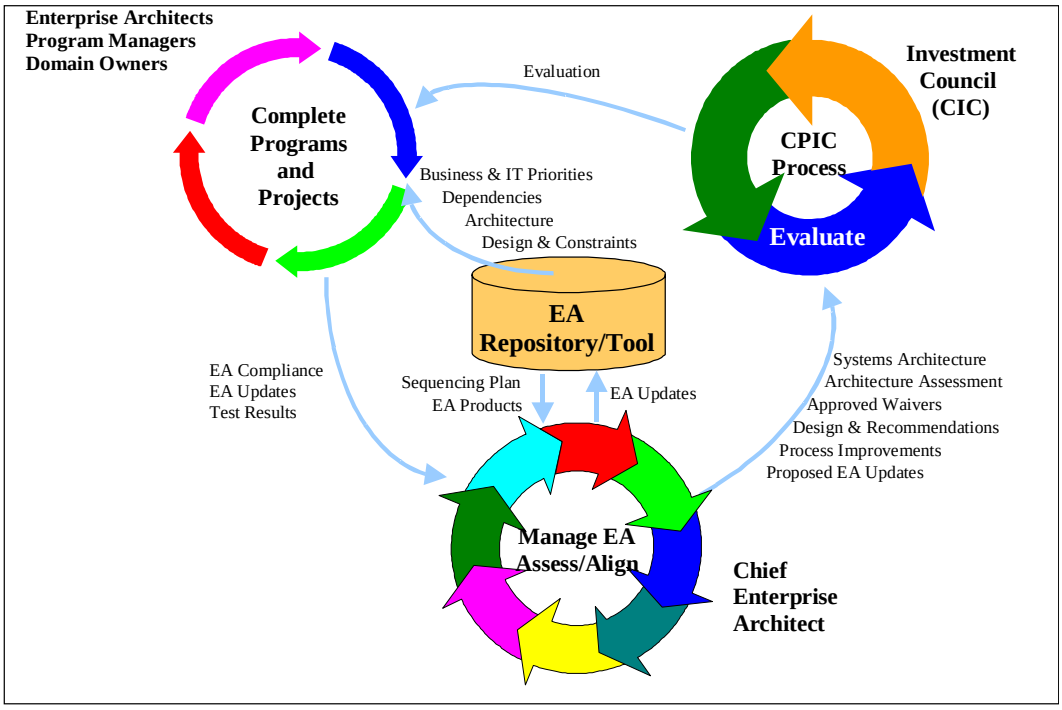


Figure 3-7: VA's Assessment of Completed Projects (Evaluate Phase)

The Chief Enterprise Architect performs an assessment of the project's implications and impacts on the VA's Enterprise Architecture and other concerns as required. The VA gains valuable information by evaluating the extent to which a project complies with the sequencing plan and target architecture. The experience and lessons learned contribute to the ongoing robustness of the VA's Enterprise Architecture.

The result of the final assessment is the updating of the baseline architecture with changes implemented in program/business processes, information technology products,

deployment, technology, and operations. The sequencing plan, target architecture, and gap/transition analyses are also updated to show completion of the program/project. These results provide lessons learned for process improvement and form the basis of program/business cases for new programs and projects. The experience and lessons learned contribute to the ongoing evolution of the VA's Enterprise Architecture.

3.9 Developing Policy for VA's Enterprise Architecture

VA's Chief Enterprise Architect will advise the Enterprise Information Board on VA's Enterprise Architecture policy, process, and information technology; and develop policies for the type and level of architectural documentation required for legacy, in-process, infrastructure, new, and other categories of systems. These policies will address:

- Project investment approval process – describing the steps for obtaining approval and funding.
- Relationship and integration of VA's Enterprise Architecture process to the capital investment process.
- Conducting in-process and post-implementation reviews.
- Waivers procedures for specific projects.
- Penalties for noncompliance to VA's Enterprise Architecture and standards.
- Workforce impacts of VA's Enterprise Architecture and information technology project changes.
- Project management considerations.

3.10 Configuration Management and Change Control within the Enterprise Architecture Program

The combined Configuration Management Procedure and Change Control Procedure for the One-VA EA program is provided in Appendix D.

Information Technology Planning

The VA's Enterprise Architecture is integrated with the Information Technology Investing Process via two major categories: Planning, and Execution.

3.11 Scope Management

3.11.1 Applicability

All VA systems will be included within the Department's Enterprise Architecture. VA will develop, follow, and enforce policies and procedures that define and maintain its Enterprise Architecture. VA's Enterprise Architecture governance organization and processes will mature over time and various levels of detail are expected for different categories of systems. Systems will be engineered to a degree and timetable to be specified by the governance process according to categories such as:

1. infrastructure and networks
2. legacy applications
3. in-process applications
4. new initiatives
5. ad hoc/demand systems required for special/specific short-term needs and
6. stand-alone applications.

This chapter defines the scope of the One-VA Enterprise Architecture from an overall perspective as the primary authoritative resource within the Department for enterprise IT. The chapter also specifies the applicability of the One-VA EA for all IT projects to key processes across the Department including Capital Planning, Budgeting, Project Management Oversight and the day-to-day execution of Information Technology projects. It details specifically how the One-VA will be used in these key Department processes, and defines mandatory compliance requirements for all IT projects throughout their life cycle; from planning to in service use of the resulting IT system. The chapter concludes by discussing the Project Managers (PMs) perspective on the One-VA EA and how it supports, tasks, empowers and constrains PMs in the execution of their IT projects.

3.11.2 Scope

The primary purpose of the One-VA EA Project Document is to *inform*, *guide* and *manage* the decisions of the enterprise, especially as they pertain to IT investments. It is intended to serve as the primary authoritative resource within the Department of Veterans Affairs for enterprise IT throughout the entire life cycle of the project including the planning, programming, budgeting, development, integration, test/certification,

deployment, and in service support. It addresses the entire spectrum of IT across the Department of Veterans Affairs.

3.11.3 Project Decision Authority Oversight

As the primary authoritative resource for enterprise IT, the One-VA EA is applicable to all IT projects in the Department. Compliance with it is mandatory throughout the evolution of all IT projects over their entire life cycle. This compliance is to be validated at multiple events and in multiple Departmental processes including the Project Management Oversight process, Capital Planning process and the overall budget submission preparation process. Specific requirements for validation of One-VA EA compliance within the Project Management Oversight process under the authority of the formally appointed Project Decision Authority (PDA) are listed in Table 4-1 below.

Milestone	Requirement	Validation
0: Business Case Validation --- Commence Project Proposal	Prior to the Milestone-0 review, establish the business case. • Indicate what VA goals, PMA objectives, and veteran service objectives the project will satisfy; • Identify stakeholders; • Identify which material weaknesses or business risks the project will mitigate or eliminate; • Establish project performance metrics with base and target values; • Articulate project scope, what is within and what is without the project boundary; • Identify a project sponsor (who will be responsible for obtaining project funding); • Identify a qualified and available project manager; • Confer with OEAM, OCIS, and Operations; • Develop a project charter. Milestone-0 should result in establishment of a formal project and should initiate the requirements gathering phase.	PDA

Milestone	Requirement	Validation
I: Project Concept Approval -- Commence Detailed Design	Prior to the Milestone-1 review, gather and analyze business and technical requirements. • Understand and articulate the detailed business process flow and re-engineer the business process if it is not optimal; • Capture and validate general business requirements; • Identify products, services, and interfaces; • Develop a tentative concept of operations; • Estimate level of effort, cost and schedule; • Develop a project proposal including an alternative analysis, risk assessment, and cost benefit analysis; • Confer with OEAM, OCIS, and Operations • Develop an initial project plan. Milestone-1 should result in adoption of the conceptual approach to a solution and should provide permission to submit an Ex-300 budget request and permission to proceed with the project design phase.	PDA

Milestone	Requirement	Validation
II: System Design Approval -- Commence Development	Prior to the Milestone-2 review, complete detailed investment design and analysis; • Understand, articulate and validate the detailed system requirements; • Complete the technology selection; • Develop a detailed design specification; • Identify and research possible sharable solution components and sharable data; • If the design calls for multiple design-and-deployment phases; identify them in a sub-project development schedule; • Augment project plan and resource estimates; • Confer with OEAM, OCIS, and Operations; • Develop a development, monitoring and reporting plan. Milestone-2 should result in concurrence on the proposed design and on the development approach, it should provide required resources and permission to proceed with the project development phase.	PDA

Milestone	Requirement	Validation
III: System Development Approval -- Commence Deployment	Prior to the Milestone-3 review, verify that all aspects of development and testing are complete and accepted; • Complete all testing, training and system acceptance; • Complete system certification and accreditation; • Complete planning for infrastructure provisioning; • Complete all deployment planning and coordination; • Augment project plan and resource estimates; • Confer with OEAM, OCIS, and Operations; • Present project status and deployment plan. Milestone-3 should result in acceptance of the developed system, approval of the deployment plan and schedule, it should provide required resources and permission to proceed with project deployment.	PDA
IV: Deployment Approval -- Commence Post Implementation Reviews	Prior to the Milestone-4 review, verify that all aspects of deployment are complete and operational. • Verify operational integrety; • Collect and compile performance results and early user experiences; • Complete operational (steady-state) budget and planning;; • Confer with OEAM, OCIS, and Operations; • Prepare for project closout. Milestone-4 should result in acceptance of the deployed system to Operations.	PDA

Table 3-2: One-VA EA Compliance Requirements and the Project Management Oversight:

Specific requirements for validation of One-VA EA compliance within the Capital Planning process are listed in Table 4-2 below.

Decision	Requirement	Validation
Inclusion of planning funds in an Exhibit 300	Completion of a Milestone 0 review and validation of compliance with EA, Cyber security and with Provisioning requirements.	VA CIO plus Administration CIO (as appropriate)
Inclusion of full acquisition funds in an Exhibit 300	Completion of a Milestone 1 review and validation of compliance with EA, Cyber security and with Provisioning requirements.	VA CIO plus Administration CIO (as appropriate)

Table 3-3: One-VA EA Compliance Requirements and the Capital Investment Planning Process

The VA CIO and Administration CIOs together with their respective architects will validate compliance, and as appropriate such project consequences could include being terminated, suspended, or redefined.

4 Information Technology Project Execution and Monitoring

Figure 5-1 depicts the integrated process flow adopted by the Department for Information Technology projects across their entire life cycle. Within this flow, the major stages in the life cycle of a project from original identification of a need through to in-service support are identified along with five formal decision milestones:

- Milestone 0 Business Case Validation – Capture Detailed Requirements
- Milestone I Project Concept Approval -- Commence Detailed Design
- Milestone II System Design Approval -- Commence Development
- Milestone III System Development Approval -- Commence Deployment
- Milestone IV Deployment Approval -- Commence Post Implementation Reviews

It also depicts several major processes within the Department and their relationship to the IT system life cycle to include capital planning, funding, project execution, project management oversight and Enterprise Architecture. The One-VA Enterprise Architecture is being fully integrated into these major departmental processes and will play a pivotal role in all IT projects. This section describes specifically how that will occur. This section is intended to provide the high level principles in moving programs through the process. In the attached appendices are included more detailed checklists, templates, and other procedural information required by the various program managers to get through this process.

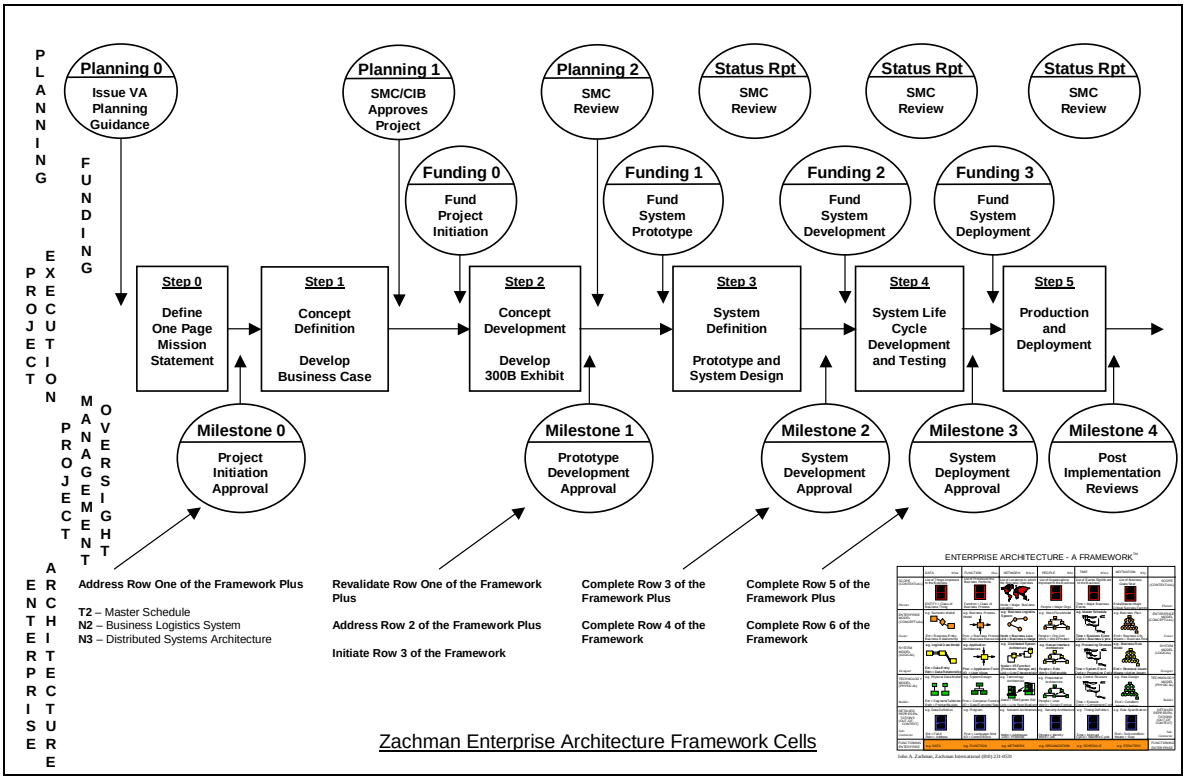


Figure 4-1: The Integrated Process Flow for VA Information Technology Projects

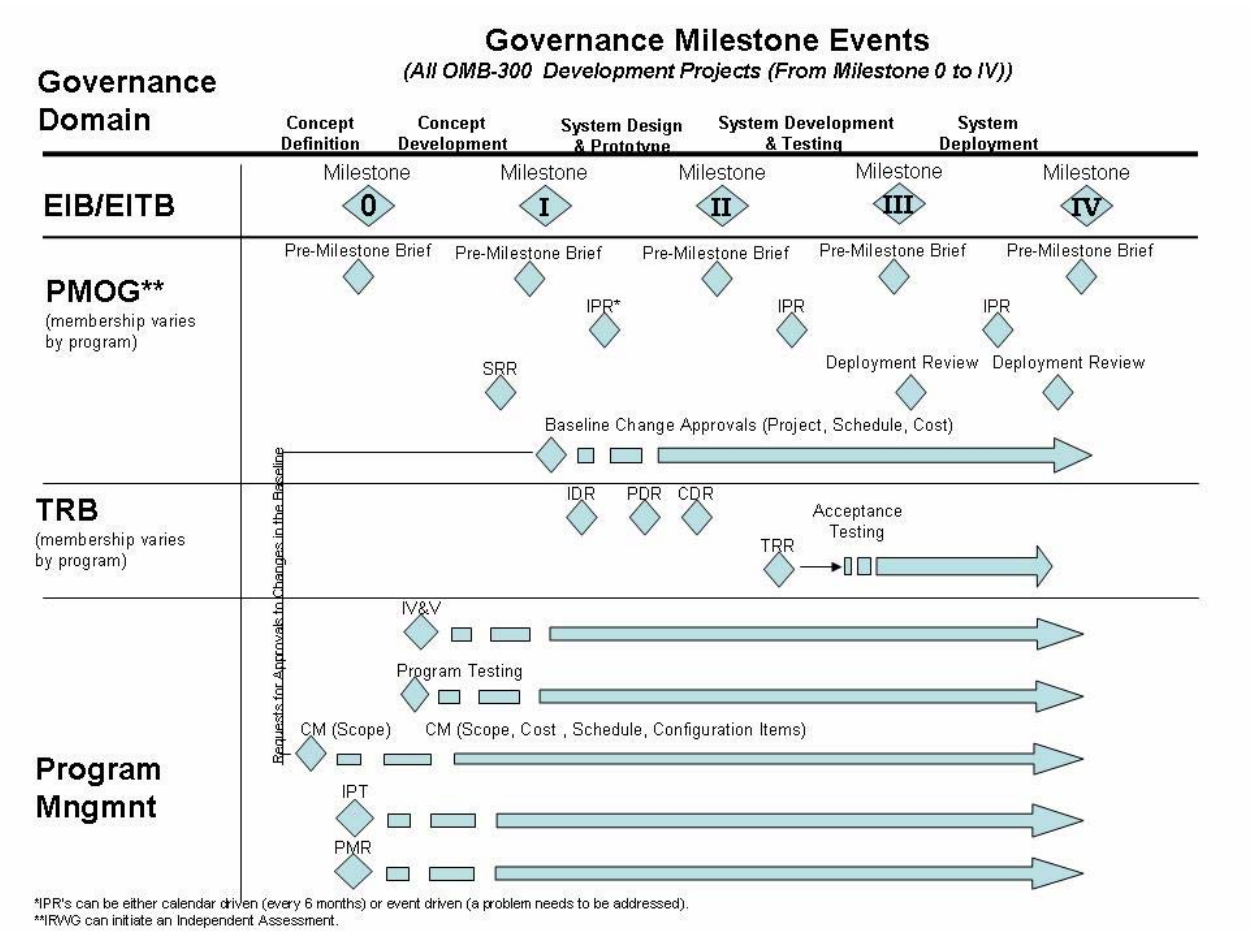


Figure 4-2: Integration of the Project Milestone Process with other review processes, creating a Project Oversight Governance Structure

4.1 The Capital Planning Process and its Relationship to the One-VA EA and the Project Management Oversight Process

Milestone 0 and I reviews, and therefore the early stages of addressing project compliance with One-VA EA are not only important from a Project Management Oversight perspective, they are integral to the Capital Planning process as well. The time phasing within the overall timeline for preparation of the Department's annual budget submission is therefore an important consideration for new start projects. Figure 5-3, Project

Management Oversight Relationship to the Budget Cycle, presents a nominal schedule of major events, and shows the timeline for preparation of the Department's annual budget submission. It reflects the timing of Milestone 0 reviews for approval of project initiation in conjunction with the preparation of the Exhibit 300 information to support planning funding and prioritization of the project for incorporation in the Department's budget submission. In order to include an Exhibit 300 for planning funds into the Department budget submission, a project should have completed at least Milestone 0 and demonstrated compliance with the One-VA.

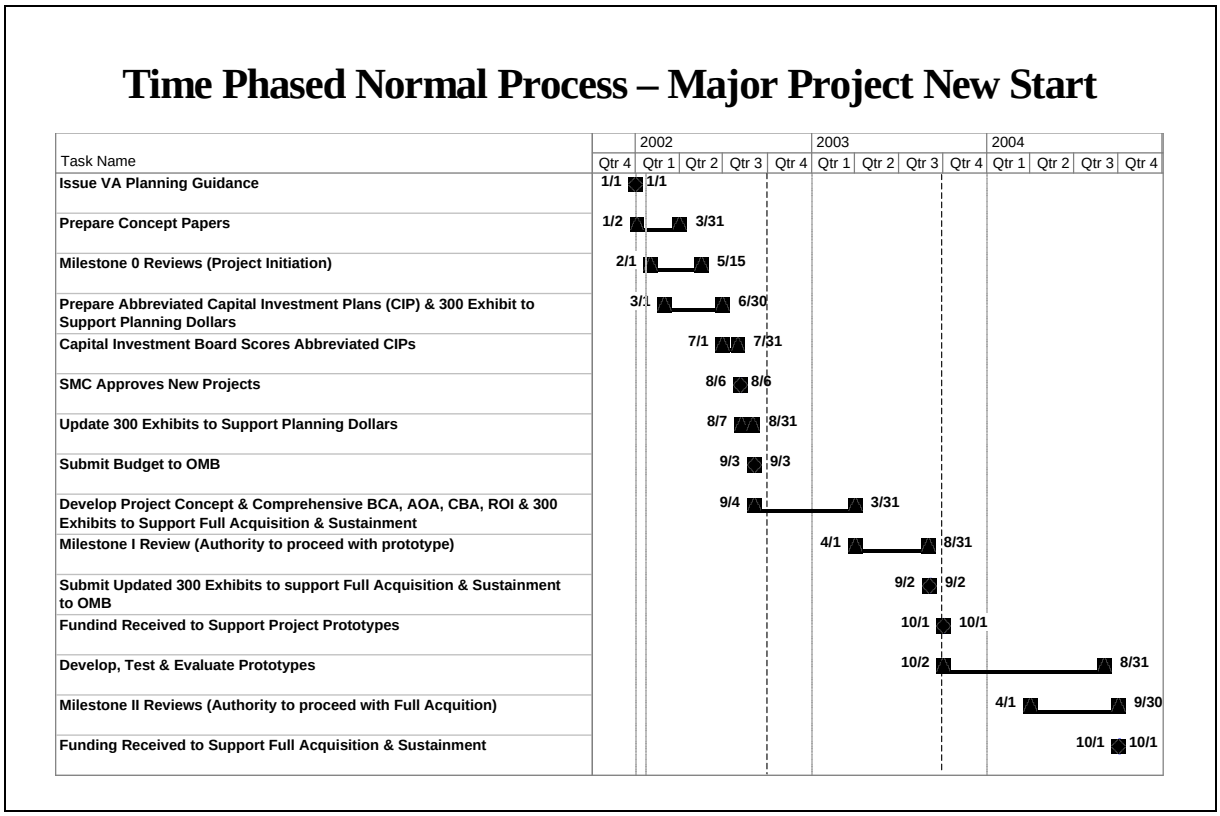


Figure 4-3: Project Management Oversight Relationship to the Budget Cycle; Nominal Schedule of Major Events

Figure 5-3 also shows the nominal timing for a Milestone I review to approve prototype or pilot development upon receipt of planning funding, along with the preparation of Exhibit 300 information to support full acquisition funding. In order to include an Exhibit 300 for full acquisition funds in the Department's budget submission, a project should have completed a Milestone I. It also shows the timing of Milestone II reviews including the verification of compliance with the One-VA EA to authorize proceeding with full-scale development upon receipt of full acquisition resources. To receive Department support for both planning and full acquisition funding therefore, projects must show compliance with the One-VA EA as discussed in detail in the earlier sections at each oversight Milestone beginning with project initiation. Additionally to receive Department support for

maintenance funding, a project must, in its budget requests, identify its relationship to the One-VA EA and how it fits into the context the EA provides for the overall enterprise.

This discussion (and the requirements detailed above) illustrates the four-way coupling for every IT project in the Department between One-VA EA, the Capital Planning process, the budget submission preparation cycle, and the Project Management Oversight process.

4.2 EA Compliance

One-VA EA requires a fundamentally different way of viewing system design, development, deployment, and life cycle maintenance. Programmatic, business process, engineering, and operational decisions must consider enterprise-wide factors to ensure that the best decision is made for the enterprise and are not just local optimizations. EA compliance is important to increase the effectiveness of the One-VA infrastructure and network, as well as effectively use data and capabilities from legacy and other One-VA applications. EA compliance includes consideration of the full life cycle, beginning with project initiation and continuing all the way through program deployment, operational employment and retirement. One-VA EA compliance can significantly reduce integration problems across lines of business and improve interoperability.

The process of determining whether an architectural component or project is "EA-compliant" requires evaluation against a defined set of criteria. These criteria can be grouped into a series of categories to capture information about particular attributes, such as how a component behaves in a network enterprise environment or uses data in an existing data store.

5 Quality Management/Configuration Management

5.1 Overview

In discussing Quality Management and Configuration Management there are two levels at which these disciplines must be addressed; the Project level and Enterprise level. In each of these cases the Project Manager has the primary responsibility for executing these disciplines. At the project level, the Project Manager must perform the Quality and Configuration Management tasks/responsibilities described in this chapter. At the Enterprise level, the Project Manager must also perform Quality/Configuration Management tasks. Oversight of the execution of these responsibilities will include both programmatic and architectural components of the project:

- Oversight for Quality/Configuration management issues such as (reliability, user acceptance, etc) is carried out by the Project Decision Authority (PDA)
    - For those projects identified as special interest the Deputy Secretary and Strategic Management Council (SMC) retain the PDA role, with review and recommendations from the CIO and the EIB.
    - For all other IT projects, the Deputy Secretary has delegated the PDA role to the CIO and EIB.
    - The CIO may, at his or her discretion further delegate the PDA role for individual IT projects to a DCIO;
- Oversight for architectural aspects of Quality Management and Configuration Management in dealing with enterprise level issues to include integration points, common data, common processes, interdependent schedules across multiple projects in multiple organizational components, and enterprise scale critical path relationships among key projects is carried out by the Chief Architect as a key advisor to the PDA. To carry out this responsibility, the Chief Architect will work with the DCIOs Architects and Project Managers and their Systems Engineers to ensure appropriate levels of architectural and programmatic integration as depicted below in Figure 6-1.

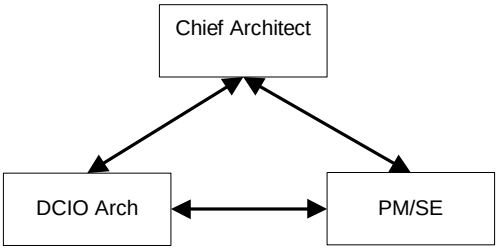


Figure 5-1: Quality Management / Configuration Management Oversight Coordination

For the One-VA EA Quality management and Configuration Management will be spread across both the Architecture level, and also at the program/project execution level.

Management should take quick and decisive actions to correct problems in light of established priorities. Examples of actions include infusion of additional resources (people, tools, or money), establishment of contingency plans, and redefinition of purpose and scope, introduction of missing or strengthening of existing control mechanisms, and increased oversight. Figure 6-2 depicts Cost, Schedule, Requirements, and Process leading to ensuring quality as four sides of a box, this box then leads to a quantified projected quality/risk projections in each of these four dimensions.

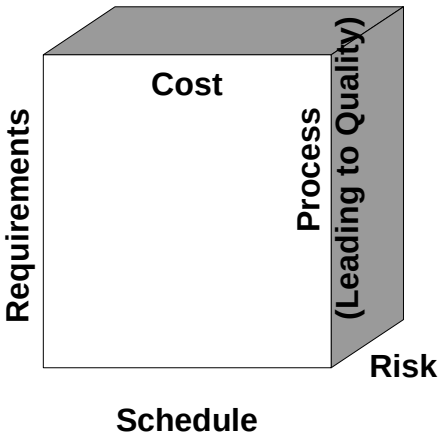


Figure 5-2: Quality Risk Factors

Modifying any one of these four factors while trying to hold the others constant changes the risk. Far too often projects increase requirements, reduce available funding or compress schedule without explicitly quantifying impact on the other factors. The result is often an implicit, unacknowledged sacrifice in processes leading to quality such as compressing scheduled test events or training, leading to a reduction in quality of the overall product and increased risk to the success of the project.

Therefore, any changes to the plans, projects, and/or architecture content to address deviations should be captured in an appropriate documentation trail, and should be justified on the basis of costs, benefits, and risks. Changes to an established baseline for a project, particularly post Milestone II where formal baselines have been established for a project in each of these factors must be processed through established change control processes and a formal board authority established for the project. The change documentation should characterize the problem, solution, and alternatives chosen and rejected in light of established priorities. It is a firm requirement in the Project Management Oversight process that PM's immediately report any breech in threshold for cost, schedule, or performance to the PDA, as soon as it is recognized and independent of the timing of formal MS reviews. In similar fashion once the specific EA compliance threshold for a project is established as discussed in Chapter 5, the PM must report any breech in this threshold to the Chief Enterprise Architect as soon as it is recognized. Also if any schedule change (with or without breaching threshold) adversely affects interdependencies among multiple projects, this must also be reported to the Chief Enterprise Architect as soon as it is recognized.

The EA process is a key support element of the operations of the Agency, and should assist the operations function in performance of its customer-focused mission.

The optimum EA process is not a single, one-time event, but is continuous and thus offers the opportunity for continuous improvement. This necessitates ongoing control with monitoring, reassessment, and refinement. As the discipline of enterprise architecting enters the mainstream of Agency operations, lessons can be learned from processes that worked and those that did not work, and from external organizations.

Quality management must be employed throughout the project life cycle to support the VA's goals to provide high-quality services to their customers. Project quality management provides structured feedback to project processes, inspections and testing of project products to ensure a successful effort. A quality plan provides direction and a road map to deliver high performance products and leads to a more productive use of scarce project resources.

Typically, a dedicated resource reporting to the Project Manager is allocated for the purpose of managing quality. Quality activities are performed at milestone reviews (and at other reviews between MS reviews) and may result in corrective actions that support project schedule, cost and performance goals.

Quality management is integrated with the project life cycle. Performance standards are established during project initiation; quality planning is incorporated with overall project plan development and quality control functions take place alongside the other project control processes. The Quality Manager is responsible for escalating quality issues.

Project management risk planning, change control and configuration management are interrelated with quality management, serving as vehicles for responding to quality control and assurance issues. Project quality management results in an improvement in quality for

project processes and products, which can be carried forward to future work efforts via the post implementation review, during project closeout.

5.2 Quality Requirements

The establishment of quality requirements is critical to overall success throughout the project's life cycle. Quality requirements involve the development of standards against which the project's success is to be measured. Also customer oriented metrics and user (i.e., VA employee) oriented metrics are developed. Functional and technical requirement standards for each major milestone and/or deliverable are developed and established to ensure the project successfully accomplishes the overall mission. These metrics will be tracked at MS reviews, baselined, and managed in a formal manner. For each of the various program milestones, critical success factors relating quality metrics will need to be provided by the program manager at the same time that requirements, schedule, and funding needs are finalized.

5.3 Quality Planning

Quality planning involves the development of a plan from the functional and technical requirements and is incorporated within the PMP. The plan maps out how quality will be measured throughout the project's life cycle and includes quality standards, review and sign-off of requirements for deliverables and establishing quality objectives.

In the quality plan, the Project Manager documents how quality will be measured at both the process and product functional and technical levels. Assuring project control measures are operating efficiently is just as critical as measuring any product variances from the plan. In addition, quality measurements should be tied to organizational goals, and should be specific, measurable, accountable, relevant and timely. This can be achieved by establishing quality measures that are tailored to the WBS. Basing quality measures on project milestones also discourages over-measurement, which is costly.

5.4 Quality Assurance

Quality assurance involves evaluating overall project performance on a regular basis to determine if the project is meeting the relevant quality standards identified during the planning phase. Milestone deliverables are examined for compliance with requirements so that errors can be detected, analyzed and corrected before they are compounded and carried forward into additional phases, causing expensive rework and potential project failure. This is accomplished through testing, inspection and review of each project phase. Test results are used to determine the impact of detected errors on project schedules, cost and outcomes. Unacceptable deviations are mitigated through corrective action. Examples of quality assurance tasks are:

- Integrated project reviews for conformance to project cost and schedule standards

- Requirements review for adherence to the project goals and objectives stated in the PMP
- Design specifications review for adherence to the requirements specification
- System specifications review for adherence to the design specifications
- Milestone deliverables review for adherence to design and system specifications
- Code reviews (for IT projects) for adherence to coding standards
- Acceptance testing for adherence to user acceptance criteria
- Configuration audits to ensure all change activities conform to CM standards
- Post-implementation reviews for conformance to overall project performance goals and objectives

5.5 Quality Control

Once quality assurance reviews are conducted, the findings must be compiled, documented and communicated to the appropriate stakeholders. The quality plan should identify the communication method, timeframe, and recipients. The Project Manager and business sponsor should be included to ensure corrective action is authorized when applicable.

5.6 Quality Improvement

Project quality is improved through the consistent application of quality processes and the documentation and publication of quality assurance and control results. As the project moves into later phases, the quality of both the project process and output improves. The documented results allow for the development of quality metrics and the integration of quality processes into the organizational culture. In a project environment, the quality "system" ensures the product satisfies management's commitment to improve the success of the overall organization. Success is the common goal of all project stakeholders, and quality is the link that establishes success in the organizational community.

5.7 Configuration Management Planning

5.7.1 Purpose

The purpose of Configuration Management is to establish and maintain the integrity of the products of the EA project throughout the project's life cycle. Planning for CM is to provide a thorough appreciation of the complexity, or simplicity, of the CM program needed for each Configuration Item (CI) or Computer Software Configuration Item (CSCI) (CI/CSCI) under their management responsibility. Documenting this required planning effort not only provides the VA with needed planning information, but the resultant CM plans also serve as instructional devices for defining specific CM responsibilities, procedures and practices. In addition, the CM plans provide management with a tool for monitoring and reviewing the program.

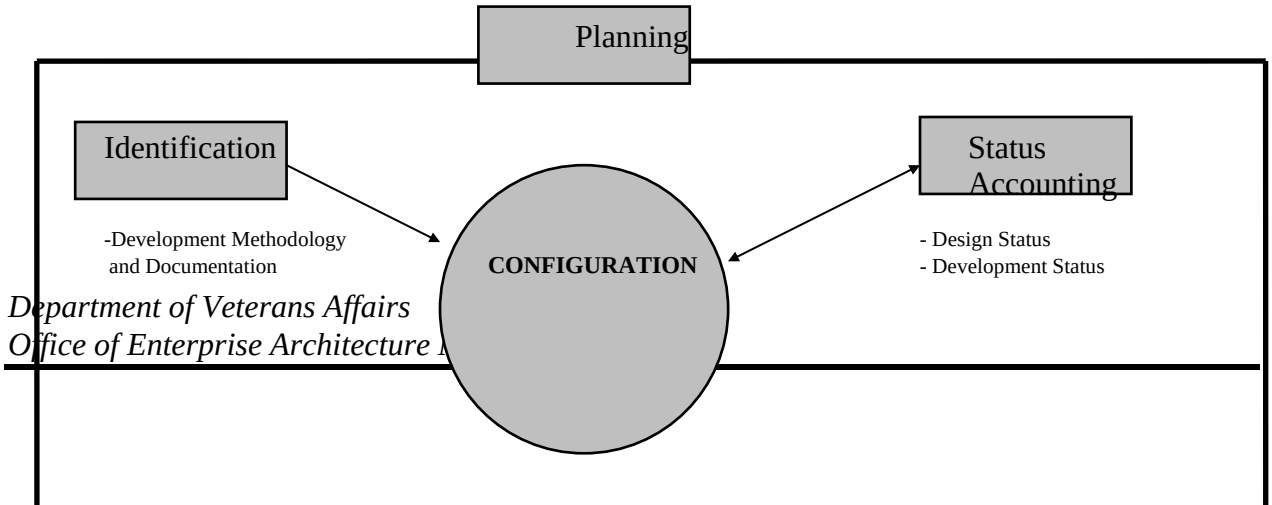
5.7.2 Application Configuration Management Plans

CM Plans are the means by which the Program Decision Authority, CIO, Chief Architect, and Project Managers establish and document the details of their respective programs. Initially, CM plans shall provide planning and procedural information. As the CI/CSCI progresses through its life cycle, the content of the CM plans shall be revised to reflect refined and updated planning and procedural information.

The CM plans shall identify the CI/CSCI and their relationship to the executing projects/programs. Implementing procedures pertinent to each element (as described below) shall be specified as they affect the CI/CSCI.

5.7.3 Configuration Management Elements

All five elements of CM (i.e., Planning, configuration identification, control, status accounting, audits/ technical reviews) shall be applied to each CI/CSCI. The degree, level, phasing, and intensity shall be determined by the tailoring process based upon the total program needs. Configuration Management involves identifying the configuration of the software and hardware (i.e., selected software work products and their descriptions) at given points in time, systematically controlling changes to the configuration, and maintaining the integrity and traceability of the configuration throughout the software life cycle.



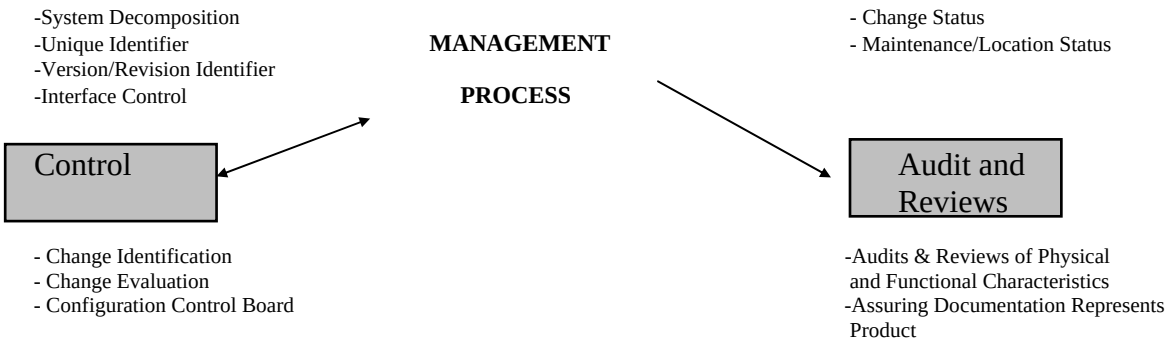


Figure 5-3: Configuration Management Elements

Therefore Project Managers shall perform the following functions:

- Plan configuration management activities.
- Identify, control, and make available selected work products.
- Control changes to identified work products.
- Inform affected groups and individuals of the status and content of software baselines.
- Establish a board having the authority for managing the project's baselines (i.e., a configuration control board - CCB).
- Appoint a group to be responsible for coordinating and implementing CM for the project (i.e., the CM group).
- Provide adequate resources and funding for performing the CM activities.
- Train members of the CM group in the objectives, procedures, and methods for performing their CM activities.
- Train members of the software engineering group and other software-related groups to perform their CM activities.
- Prepare a CM plan for each software project according to a documented procedure.
- Use a documented and approved CM plan as the basis for performing the CM activities.

- Establish a configuration management library system as a repository for the software baselines.
- Identify the work products to be placed under configuration management.
- Initiate, record, review, approve, and track change requests and problem reports for all configuration items/units according to a documented procedure.
- Control changes to baselines according to a documented procedure.
- Create products from the software baseline library and control their release according to a documented procedure.
- Record the status of configuration items/units according to a documented procedure.
- Develop standard reports documenting the CM activities and the contents of the software baseline and make available to affected groups and individuals.
- Conduct software baseline audits according to a documented procedure.
- Make and use measurements to determine the status of the CM activities.
- Review the CM activities with senior management on a periodic basis.
- Review the CM activities with the project manager on both a periodic and event-driven basis.
- Have the CM group periodically audit software baselines to verify that they conform to the documentation that defines them.
- Conduct reviews or audits by the software quality assurance group on the activities and work products for CM and reports the results.
- Project Managers are responsible for implementing this policy.

6 Risk Management

6.1 Overview

A critical aspect of project planning is to identify and effectively manage all project risks. The project management office (PMO) reviews current activities, issues, and progress to identify any additional potential risks that may affect the success of the project. Risk mitigation strategies are developed for each potential risk, and specific information about each risk should be documented and archived in a risk database.

Risk management must address the "portfolio" of applications, and the various dependencies upon shared infrastructure and services, as well as the execution of the individual project.
In each of these cases the Project Manager has the responsibility for ensuring there are risk mitigation strategies in place. Oversight of the execution of these responsibilities will include both programmatic and architectural components of the project:

- Oversight for Risk Management issues such as (shared infrastructure, services, etc) is conducted by the Project Decision Authority (PDA)
    - For those projects identified as key or major the Deputy Secretary and Strategic Management Council (SMC), after review by the CIO and the EIB.
    - For most projects CIO and EIB unless further delegated to the DCIO;
- Oversight for Architectural aspects of Risk Management in dealing with enterprise level issues such to include integration points, common data, common processes, interdependent schedules among multiple projects in multiple components of the organization, and enterprise scale critical path relationships among key projects is carried out by the Chief Architect as a key advisor to the PDA. To carry out this responsibility, the Chief Architect will work with the DCIOs Architects and Project Managers and their Systems Engineers to ensure appropriate levels of architectural and programmatic integration as depicted below in Figure 7-1:

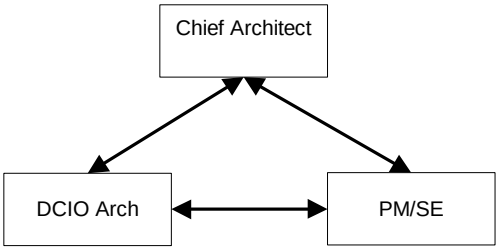


Figure 6-1: Risk Management Oversight Coordination

Through their respective reports and review activities , the CIO, and the Chief Architect will be able to identify what, if any, EA program expectations are not being met. For the EA Program there are two separate types of risks which will need to be addressed.

At the enterprise level for the One-VA effort, there is now the risk of various projects being dependent upon each other to be deployed. These risks must be identified in the various implementation and sequencing plans. The appropriation risk mitigation strategies will be incorporated into the yearly deployment implementation plans.

The second is at the individual executing projects; these will be addressed as part of the normal reviews. For example, if risk management has been effectively implemented, program risk lists should be regularly generated that assign a risk level based on impact and probability, define risk mitigation strategies, report on progress in implementing these strategies, and whether the progress being made is successfully addressing the risk item. Also, periodic configuration audits should be conducted to ensure that EA configuration items are being defined, controlled, and reported. The CIO and Chief Architect can also rely on independent reviews by the quality assurance function or a verification and validation agent to advise them of deviations from expectations.

These deviations may be program management plan-related, such as omission of work tasks, delays in the completion of work tasks, or additional costs to complete work tasks; or they may be management function-related, such as not following change control procedures, not adhering to the selected EA framework, or not engaging SMEs and domain owners within business and technical areas.

The process of identifying, allocating, managing and minimizing risk is crucial to the success of the project. The ability of the project management team to identify and understand various risks and then to implement tools and/or allocate resources to mitigate them will be a major factor in bringing the project in on time and within budget.

Accordingly, the risk management plan will identify risks and the appropriate methods for managing them. The tools, techniques, and procedures shown here will serve as a guideline for team members and stakeholders to deal with the uncertainties of risk.
The major steps that need to be performed to manage risk in the project are:

- Risk Identification
- Risk Assessment/Quantification
- Risk Allocation
- Risk Management.

6.2 Risk Identification

Identifying risk will occur in two phases: formal planning and ongoing identification. Once the goals, objectives, and preliminary schedule are set and the approach to meeting the need is approved, the Project Control Board (PCB) will study all aspects of the approach to identify any associated risks. Risk identification is a function of experience, historical knowledge, 'what if' scenarios, checklists, and any and all other applicable tools. The use of the PCB will provide an automated method of recording and tracking risks and make managing them simpler.

At the EA level program dependencies will be identified through the use of Integration Points (IPs). These IPs will provide the equivalent of a contractual understanding between various executing programs on the various resources, interfaces, or fundamental infrastructure dependencies required for the successful execution of programs in their different phases. As an example in an earlier milestone program, the critical dependencies might be software (and their requisite interfaces), however in a later program the dependencies could be deployed hardware/software/networks/security programs, etc in order for the program to be deployed.

6.3 Risk Assessment/Quantification

Once risks are identified by the various means, the risks need to be analyzed and quantified. The PCB, in association with subject matter experts, will assign probabilities and consequences of risk occurrence. Should the risks profiled turn out to be high impact but low probability, different strategies will be shaped accordingly. In a project environment, it is not feasible to manage all identified risks. As such, the PCB will prioritize the initial list and direct the project team to concentrate on the higher impact risks to ensure a manageable number for the resources available.
Suggested qualitative values for probabilities and impacts:

Probabilities	**Impacts**
- High (Very Likely)	- High
- Medium (Probable)	- Medium
- Low (Possible)	- Low

The following definitions of impact will be used for the risk management plan:

- High ¾ Any risk that in and of itself can cause at least an overall 10% slip in goal/functional requirement achievement or project baseline in the project.

- Medium ¾ Any risk that alone can impact the baseline of the project or cause a specific goal to be unattainable.

- Low ¾ Risks that do not meet the criteria for the above two categories.

6.4 Project Control Board (PCB) Evaluation

Once risks have been identified and quantified, the PCB will evaluate the risks judged to have program wide impact if they occur. Risk factors are the combination of the probability and the impact of the risk on the program. An adjustment to the plan can occur should the profile show that the bulk of identified risks have a high probability of occurrence but low impact on overall goals and schedules.

Figure 7-2 shows a risk factor matrix that will be used to generate risk profiles for planning purposes. The PCB will compile a "watch list" of those risks that if manifested and allowed to continue could stop the project in its tracks. This list will be reviewed formally on a weekly basis at the project status meetings.

Probability of Occurrence:			
High (Very Likely)	Medium	High	High
Medium (Probable)	Low	Medium	High
Low (Possible)	Low	Low	Medium
Program Impact	Low	Medium	High

Figure 6-2: Risk Factor Matrix

The PCB will monitor those risks in the dark shaded "high risk factor" areas more closely than others.

6.5 Risk Allocation

Once risks have been identified in the initial project planning phase, they will be assigned to appropriate persons, sections or teams for day to day monitoring and management. This step is crucial--incorrect assignment will undoubtedly lead to programmatic difficulties downstream. Once assigned a risk item, the person or organizations with the responsibility are the single point of contact for the item and thus become the 'owner' for risk management and accountability. If required, risk owners are expected and encouraged to examine and challenge the PCB's initial assessment of probabilities and impacts. The PCB will adjudicate any major disagreements and ensure owner's concerns are adequately addressed and integrated into overall project risk management strategies.

6.6 Risk Mitigation

Once assigned a risk, the owner should study it carefully, then draw up a mitigation plan for the assigned item. The PCB will aggregate the risks and analyze the combined strategies. The intent will be to identify strategies that are or could work at cross-purposes with each other or other strategies. Should the resources required to fully mitigate all risks

exceed those available, the PCB must work to further refine risk probabilities and impacts and broker a tailored plan that will ensure the risks with the most potential for causing failure are addressed and mitigated. The prioritization process will be useful in ensuring the number of strategies competing for resources will be manageable. Although the PCB will rely on risk owners of lower priority risks to manage them on a day to day basis, the PCB will continually monitor and spot check to ensure small risks do not suddenly become large ones. Where applicable, mitigation plans should be linked into the project schedule. This will greatly assist with impact analysis.

6.7 Ongoing Identification of Risk

As the project progresses, it is assumed that aspects of it will change and evolve. Requirements may be added or changed, unanticipated technical difficulties may arise and environmental factors may cause resources to become unavailable or inoperable for extended periods. As conditions change, the risks initially identified in the planning phase may be magnified or reduced or disappear altogether while others surface and are addressed. The management of risk will continue throughout the project life cycle and coincide with other project control processes. The Risk Control Form (see appendices) can be used to capture emerging risks for PTS input. The completed form is then forwarded to the PCB for review and action. During weekly status meetings, emerging risks will be reviewed, an owner assigned, impact and probability assessments performed and mitigation strategies selected.

1. Measure user expectations and satisfaction at each level in the organization.

Appendix A – Milestone Decision Briefings Project Manager's Checklist

These are sample checklists still to be finalized for final

PLEASE ANSWER THE FOLLOWING QUESTIONS*:	***Yes/No***		***N/A***	***Approval Date***
A. Is this a Milestone briefing and do you have a program Quad Chart?				
B. Requirements & Existing Capabilities				
1 *Have the Requirements been re-validated just prior to this milestone?*				
2 *Do the system capabilities meet the documented Requirements?*				
C. Do you have any Key Unresolved Issues to report? *(Congressional Issues/Requirements Issues/Legal Issues/Security Issues/GAO / OMB Issues)*				
D. Has the Acquisition Strategy been re-validated since the last milestone?				
1 *Have you used incentives to reduce development, procurement, & support costs?*				
2 *Have you identified your Cost-as-an-Independent Variable inflection points?*				
3 *Have you implemented any cost-performance tradeoffs?*				
4 *Have you ensured that VA Enterprise Architecture compliance is being achieved?*				
5 *Have environmental, safety, and health acquisition issues been addressed?*				
6 *Have you developed an acquisition strategy & contracting approach towards procuring IT?*				
7 *Have you Completed a Small Business Innovative Research (SBIR) Program Plan?*				
a. *Have you attempted to stimulate technological innovation by small business?*				
b. *Have you attempted to increase small business participation in meeting federal research and development needs?*				
c. *Have you attempted to increase the commercialization of technology developed through SBIR research and development?*				
d. *Have you attempted to enhance outreach efforts to increase the participation of socially and economically disadvantaged small business concerns and the participation of small businesses that are at least 51 percent owned and controlled by women?*				

- If you provided a "No" or "N/A" answer to any question, please provide justification within the backup portion of this briefing.

PLEASE ANSWER THE FOLLOWING QUESTIONS*:	***Yes/No***		***N/A***	***Approval Date***
D. Has the Acquisition Strategy been re-validated since the last milestone?				
8 Does the program continue to meet your Organizational Improvement goals?				
9 Does the program deviate from VA Technical Architecture standards?				
10 Does the program have the capability to interoperate with other VA and external systems?				
11 Is there any non-compliance with VA security standards?				
12 Is the program on track to achieve Security Certification and Accreditation?				
13 Have there been any material changes in Customer Acceptance selection factors? (experience with technology, organizational support, ease of use)				
14 Have there been any material changes in the Customer Service selection factors? (Quality, Waiting Time, Increase in Customers, Increased Benefits, Existing Customer access)				
15 Have there been any material changes in the Return on Taxpayer Investment cost / benefit analysis or non-quantifiable benefits?				
16 Have there been any material changes in High Performing Workforce factors (recruiting and retention, training and development, and morale?)				
17 Have there been any material changes in VA Strategic Alignment factors (Quality of life, ensure smooth transition, Honor and Memorialize, Public Health and Socioeconomic well being, One VA)				

- If you provided a "No" or "N/A" answer to any question, please provide justification within the backup portion of this briefing.

PLEASE ANSWER THE FOLLOWING QUESTIONS*:	***Yes/No***		***N/A***	***Approval Date***
E Program Execution Status. (Milestones 0, 1, 2, & 3):				
1 Have Exit Criteria - established during the last Decision Briefing - been satisfied?				
*2 Does the program meet **Cost** Goals and Thresholds?*				
*3 Does the program meet **Schedule** Goals and Thresholds?*				
*4 Does the program meet **Performance and Reliability** Goals and Thresholds?*				
5 Has testing been accomplished and approvals been obtained?				
6 Is the program affordable? (i.e., current funding vs. FY outyears?)				
7 Is program life-cycle configuration management and testing support in place?				
8 Have you developed your Total Cost of Ownership (TCO) reduction objectives?				
9 Have you prepared and/or updated the system's TCO Reduction Plan?				
10 Have you maximized the use of commercial & non-developmental items?				
11 Has the Analysis of Alternatives been updated & reviewed since Milestone 1?				
12 Have you evaluated your program for other agency joint participation potential?				
13 Have you developed performance measures (metrics) for the IT in your program?				
14 Has an independent Cost Estimate been performed?				
15 Has a program Cost Estimate been performed and revalidated since the last Milestone?				
16 Have you discussed all critical design, test, performance, and security issues with the CIO staff – Chief Architect, Director of Cyber Security, DBA, Networks, AAC, others?				
17 Have you completed and revalidated a cost, schedule, and performance risk management plan?				

- If you provided a "No" or "N/A" answer to any question, please provide justification within the backup portion of this briefing.

PLEASE ANSWER THE FOLLOWING QUESTIONS*:	***Yes/No***		***N/A***	***Approval Date***
F. Has the program met IT statutory requirements (ITMRA, GPRA, PRA)				
1 *Has a Process Analysis or Re-engineering effort been performed?*				
2 *Does this program meet the specific measures of the VA Performance Plan?*				
3 *Can you provide examples of how your program has contributed to achieving the goals and objectives of the VA IT Strategic Plan?*				
4 *Have the "Three Pesky Questions" been addressed?*				
5 *Have you normalized your data architecture to accomplish interoperability with other VA and other agency applications?*				
6 *Have you used shared computing platforms or commercial computing resources?*				
7 *Have you taken advantage of VA data networks?*				
8 *Have you developed a threat analysis and planned an application and physical security protection strategy?*				
9 *Have you developed a threat analysis and planned a cyber security protection strategy?*				
10 *Have you developed a Deployment Strategy?*				
11 *Have you compared (benchmarked) these processes to those in other public or private organizations? (Business Process Reengineering / Benchmarking)*				
12 *Is your system Year 2000 Compliant?*				
13 *Have you considered Re-using or modifying existing software for your program?*				
14 *Does your design consider electromagnetic environmental effects (E3) and Spectrum Management?*				
15 *Does your design avoid / isolate custom designed components? (Open Systems)*				
16 *Will your system have fully tested pilots, simulation, or prototypes before production Deployment? (Test & Evaluation)*				

- If you provided a "No" or "N/A" answer to any question, please provide justification within the backup portion of this briefing.

PLEASE ANSWER THE FOLLOWING QUESTIONS*:	***Yes/No***		***N/A***	***Approval Date***
F. Continued . . . IT statutory requirements				
17 *Are there clearly established measures and accountability for program progress?*				
18 *Does the Acquisition Strategy allocate risk between VA and the Contractor? (Contract Risk Management)*				
19 *Does the Acquisition Strategy effectively use Competition? (Competition)*				
20 *Are contract payments tied to accomplishments / deliverables?*				
G. Net Overall Risk Assessment				
Is the Net Overall Risk Assessment Low?				
H. Recommendations (Milestones 1, 2, and 3 only)				
1 *Have you prepared Exit Criteria for the next Phase?*				
2 *Do both the PM and Assistant Secretary recommend milestone approval?*				
3 *Has the Decision Memorandum been written and is it ready for signature during the Decision Briefing?*				

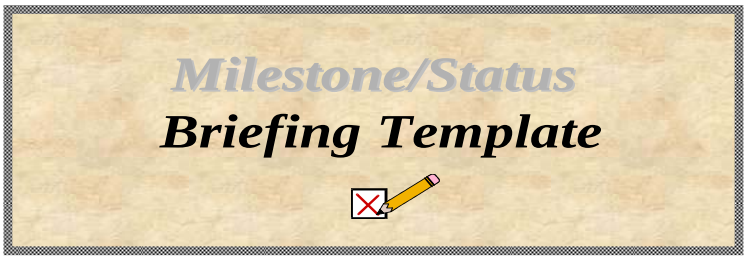
- If you provided a "No" or "N/A" answer to any question, please provide justification within the backup portion of this briefing.

Appendix B – Milestone Decision Briefings Template

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

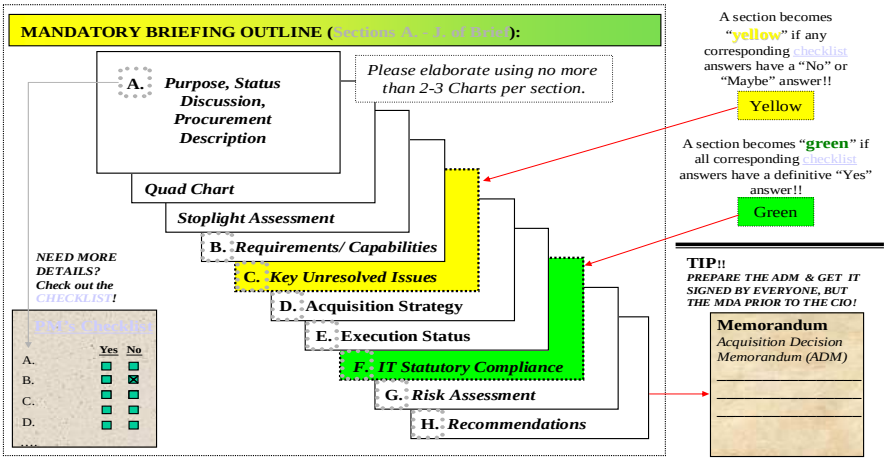
HOME



Give presentations that tell stories, not just provide data

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING OUTLINE -



***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

Briefing Title / Purpose

(e.g., Milestone 3 - Program Decision Briefing)

Briefing Section A

Program Name
(VA designation)

Project Manager information
(Names, Phone, eMail, etc.)

Don't forget Dates on every page!

Don't forget Page Numbers on every page!

XX/XX/XX

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

Statement of Requirements

Briefing Section A

Please discuss your accomplishments to date, major successes, obstacles overcome, traumatic events, tradeoffs, etc.

Keep comments brief

List each item as a bullet and talk to it

XX/XX/XX

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

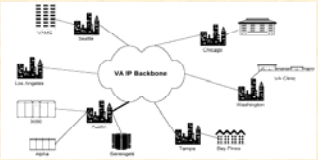
System Description

Briefing Section A

Please illustrate the <u>exact</u> system this decision will authorize you to implement…

VA Data Network

Design and implement a high bandwidth communications network to support transmission of all voice, data, text, graphics, radiology and other images, and full-motion video to all VA locations



(Include a schematic or illustration to help the audience.)

XX/XX/XX

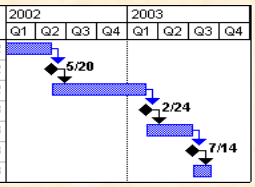
***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

Program Schedule and Cost

Briefing Section A

Task Name	Duration	Start
System Definition	100 days	1/1/02
Milestone 2	0 days	5/20/02
Development and Testing	200 days	5/21/02
Milestone 3	0 days	2/24/03
Production Implementation	100 days	2/25/03
Milestone 4	0 days	7/14/03
Post Implementation Review	40 days	7/15/03



Step	Quarter 1 - FY02	2 - FY02	3 - FY02	4 - FY02	1 - FY03	2 - FY03	3 - FY03	Totals
System Definition	$ 750	$ 1,500	$ -	$ -	$ -	$ -	$ -	$ 1,500
Development and Testing	$ -	$ -	$ 3,000	$ 3,000	$ 1,500	$ -	$ -	$ 7,500
Production Implementation	$ -	$ -	$ -	$ -	$ 1,500	$ 2,500	$ 1,000	$ 4,000
Post Implementation Review	$ -	$ -	$ -	$ -	$ -	$ 100	$ 250	$ 100
Totals	$ 750	$ 1,500	$ 3,000	$ 3,000	$ 3,000	$ 2,600	$ 1,250	$ 13,100

XX/XX/XX

MILESTONE *DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

Existing Capabilities

Briefing Section B

Please discuss methods used to re-validate the Requirements since the last milestone.

Discuss any capability shortfalls / tradeoffs you've made to maintain your Scope, Cost, Schedule, Performance, or Reliability goal and threshold objectives.

Discuss whether or not the systems capabilities still meet VA requirements.

XX/XX/XX

MILESTONE *DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

Key Unresolved Issues

Briefing Section C

Lets face it… all programs have issues to be dealt with, however please understand that this is not the forum used to solve them. In this meeting simply discuss the pros & cons of any "Key Unresolved Issues" that may come up in the future adding risk to the execution status..

(I.E. Potential Showstoppers!)

Ex.. Congressional Issues, Administration Issues, Vendor Issues, Legal Issues, GAO / OMB Issues, Requirements Issues, etc.

XX/XX/XX

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

Acquisition Strategy

Briefing Section D

Briefly discuss your Acquisition Strategy

Using bullets as place holders, please discuss verbally how you re-validated the Acquisition Strategy since the last MS, and if you didn't revalidate it, then please explain why you did not?

Also verbally discuss how you used incentives, cost-performance tradeoffs, CAIV objectives, environmental considerations, IT contracting approach, SBIR/Small business/Socially & economically handicapped program, & commercialization of technology.

(Don't forget to provide Back-up Materials to justify "No" answers on the PMs Checklist!!)

PM Checklist Back-up Materials

XX/XX/XX

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

Program Execution Status

Briefing Section E

Briefly discuss your Execution Status

Using bullets as place holders, please discuss verbally how closely you've met your scope, cost, schedule, performance, and reliability thresholds. Please discuss your test results, user reactions, and inspection results. Do you believe the system is still affordable? Why?
How have you ensured that configuration management and support staffing / maintenance will be in place to maintain the system over its planned life?
How will you achieve annual Total Cost of Ownership reduction goals?

Discuss your search for Joint Agency program potential. What partnership opportunities with Federal and State agencies did you evaluate? What other systems did you evaluate and why weren't they chosen? Discuss the IT performance metrics you will use. Are there any critical design, development, data interoperability, test, training, rollout, and/or support issues?

(Don't forget to provide Back-up Materials to justify "No" answers on the PM Checklist!!)

PM Checklist Back-up Materials

XX/XX/XX

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

Briefing Section E

Life Cycle Funding Discussion

APPROPRIATION	*YR1*	*YR2*	*YR3*	*YR4*	*YR5*	*TOTAL*
Capital Investment - Quantity - Funding ($) - Requirement ($) - Cost Variance ($ +/-)						
Operations & Maintenance - Quantity - Funding ($) - Requirement ($) - Cost Variance ($ +/-)						
Other Procurement - Quantity - Funding ($) - Requirement ($) - Cost Variance ($ +/-)						
TOTAL (CI+OM+OP) - Quantity - Funding ($) - Requirement ($) - Cost Variance ($ +/-)						

Using chart please summarize your Life Cycle Funding Profile

The intent is for the PM to explain shortfalls between his/her appropriated/ allocated funds and the cost to execute the program to meet the operational requirement. The PM should discuss changes and challenges in executing the program due to the shortfall.

The Funding (CI, OM, OP) is the appropriated/ allocated funds.

The Requirement is the total system life cycle estimated cost at system retirement.

The Cost Variance is the difference between Funding and Requirements.

XX/XX/XX

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

Briefing Section G

Capital Investment Funding Discussion

APPROPRIATION	*YR1*	*YR2*	*YR3*	*YR4*	*YR5*	*TOTAL*
Hardware - Quantity - Funding ($) - Requirement ($) - Cost Variance ($ +/-)						
Software - Quantity - Funding ($) - Requirement ($) - Cost Variance ($ +/-)						
Services - Quantity - Funding ($) - Requirement ($) - Cost Variance ($ +/-)						
TOTAL (H+Soft+Serv) - Quantity - Funding ($) - Requirement ($) - Cost Variance ($ +/-)						

Using chart please summarize your Capital Investment Funding Profile

The intent is for the PM to explain shortfalls between his/her appropriated/ allocated funds and the cost to execute the program to meet the requirement. The PM should discuss changes and challenges in executing the program due to the shortfall.

The Funding (H, Soft, Serv) is the appropriated/ allocated funds.

The Requirement is the Capital Investment estimated cost at completion (EAC).

The Cost Variance is the difference between Funding and Requirements

XX/XX/XX

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

IT Statutory Compliance

Briefing Section F

Briefly discuss your IT Procurement Methods

Using bullets as place holders, please **verbally discuss** each of the following**:** How you performed your alternatives analysis; how your program meets the goals & objectives of the VA IT Strategic Plan, How your program complies with the VA Enterprise Architecture; your threat analysis and security protection strategies for application, physical, and cyber security; how you performed your vendor selection analysis; your efforts to support our VA administrations; your ROI results, your justification for not using COTS items; your Y2K efforts; your efforts to re-use or modify existing VA or other federal agency software for use in your program; your established performance measures and accountability for program progress with your vendors (Discuss how these measures are linked to strategic goals, the APB, and CAIV objectives!).

(Remember you will need back-up materials to justify any "No" answers on the PM's Checklist!!)

PM Checklist Back-up Materials

XX/XX/XX

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

Risk Assessment

Briefing Section G

Briefly discuss your Risk Assessment Methodology

Please identify significant risk events which may cause a schedule, cost, scope, performance, or reliability deviation from the Goals and Thresholds (chart Likelihood Vs. Consequence for each and one overall). Please illustrate any qualitative and quantitative techniques used in determining your programs risk assessment. Explain your efforts used to mitigate significant risk events such as (Handling, Control, Avoid, Assume, Transfer). What are your risk management goals and objectives? Are you using the Risk Management Process (Identify, Analyze, Plan, Monitor, Control)?

(Don't forget to provide Back-up Materials to justify "No" answers on the PMs Checklist!!)

PM Checklist Back-up Materials

XX/XX/XX

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

Briefing Section G

Risk Assessment Charts

Risk: *(description of risk factor)*

Overall

Likelihood \ Consequence	Low	Medium	High
High			
Medium			
Low			

Cost

Likelihood \ Consequence	Low	Medium	High
High			
Medium			
Low			

Schedule

Likelihood \ Consequence	Low	Medium	High
High			
Medium			
Low			

Performance

Likelihood \ Consequence	Low	Medium	High
High			
Medium			
Low			

Reliability

Likelihood \ Consequence	Low	Medium	High
High			
Medium			
Low			

Scope Creep

Likelihood \ Consequence	Low	Medium	High
High			
Medium			
Low			

XX/XX/XX

***MILESTONE** DECISION BRIEFINGS*

- BRIEFING TEMPLATE -

HOME

Briefing Section H

Recommendations

Briefly discuss your recommendations

Using bullets as place holders, please discuss verbally the reasons why you recommend either continuation or cancellation of this program.

(Provide the chopped Decision Memorandum to the decision authority for final signature.)

XX/XX/XX

Appendix C – Information Technology Reviews

Milestone 0 – Project Initiation Approval

Tasks for the Project Initiation Approval, at the Requirements Gathering Phase, including the following:

1. Prepare a One Page Business Case for IT Board review
    a. Document what problem you are solving
    b. Describe how this effort will support VA strategic objectives, the Presidents Management Agenda and service improvement to veterans;
2. Identify the mandates in law and regulation which necessitate this effort including any possible material weakness that this effort will address or resolve;
3. Identify which business lines are involved, which external business partner relationships will be impacted and which internal stakeholders will be involved;
4. Identify which VA products and services will be impacted by this effort;
5. Identify the projects sponsor and name the proposed project manager;
6. Prepare and present a Project Charter including a scope statement and identifying the Project Decision Authority who will be the Sponsor's approver of all changes and acceptor of all deliverables.
7. Characterize the forthcoming requirements gathering phase – level of effort in terms of:
    a. The stakeholders to be included in requirements determination;
    b. The ROM estimate of cost, time and other resources required to gather, analyze and present requirements for approval by the PDA
    c. The manner in which requirements will be represented and approved and a description of deliverables to be provided for review at the milestone 1 review;
8. Request Approval of milestone 0, including Project Initiation with permission to proceed and to obtain allocation of required resources.

Milestone I – Prototype Concept Approval

Tasks for the Concept Approval and permission to proceed with the detailed design phase including the following:

1. Prepare a Concept Definition document that includes:
    a. A statement of the required outcome of the effort mapped to VA goals;
    b. An analysis of alternatives proposing an alternative for adoption;
    c. An evaluation of build/buy methods with a recommended approach to achieve that alternative (i.e. government/contractor work distribution);
    d. An analysis of contracting strategies (if contracting is required) with a recommended contracting approach;
2. A detailer risk assessment and risk management plan;

3. A ROM estimate of investment scope including:
    a. A ROM estimate of project cost applied over time;
    b. A ROM estimate of project duration and schedule;
    c. A ROM estimate of all other required resources;
4. Identification of critical success factors, quantitative outcomes and project metrics (with base and target values);
5. A list of design, development and deployment phases;
6. A list of major tasks and deliverables by project phase;
7. A Concept of Operations document consistent with the proposed alternative;
8. Prepare an abbreviated Capital Investment Plan (CIP) including Return On Investment and Cost Benefit Analysis estimates;
9. Provide statements of concurrence at Milestone 1 from Enterprise Architecture, Cyber Security and Infrastructure Management;
10. A project governance plan including charters for IPTs and working groups, and reporting cycles;
11. Provide a list of next steps;
12. Request for Approval of milestone 1 and to proceed with the design phase and to proceed to develop a full development Ex-300 budget request; including Project Initiation with permission to proceed and with allocation of required resources

Milestone II – Project Design Approval

Tasks for the Detailed design Approval and permission to proceed with System Development, include the following:

1. Describe technology selection, configuration, deployment, management and COOP proposal;
2. Provide a functional requirement list
3. Provide system design specification correlated to the functional requirements list;
4. Provide a shared component and data reuse plan (using the "EA v4.2 FEA-SRM sharable component repository" and the "OMB Federal Transition Framework list of sharable interagency service components", as research sources):
    a. Identify sharable component and shared data resources;
    b. Indicate sharable component and data availability and reliability;
    c. Identify sharable component change governance, and terms and conditions for use;`
    d. Prepare any required SLA’s for use of sharable components;
5. Prepare an initial project configuration management and change control plan;
6. Prepare an initial project communications and training plan;
7. Prepare an initial system development work plan, WBS and staffing schedule
8. Present statements of concurrence at Milestone 2 from Enterprise Architecture, Cyber Security and Infrastructure Management;
9. Develop proposals/plans for pilot/prototype implementation if appropriate;
    a. Identify all pilots or prototypes contemplated and indicate criteria for acceptance;

   b. Provide a sequencing plan for development/deployment sub-milestones if appropriate (e.g. Milestones-3a/4a; followed by Milstones-3b/4b);
   c. Provide locations, scope and plans for pilots/prototypes as sub-projects;
10. Refine the estimate of investment scope including:
   a. A refined estimate of project cost applied over time;
   b. A refined estimate of project duration and schedule;
   c. A refined estimate of all other required resources;
11. Provide statements of concurrence at Milestone 2 from Enterprise Architecture, Cyber Security and Infrastructure Management;
12. Provide a list of next steps;
13. Request for Approval of milestone 2 and to proceed with the deployment phase and provision of requested resources;

Milestone III – Project Development Approval and Permission to Deploy

Tasks for the System Development acceptance and permission to include the following:

1. Provide evidence of successfully completed user acceptance test and stress test;
2. Provide completed Certification and Accreditation approved by Cyber security;
3. Provide completed As-Built (configuration management) system documentation;
4. Provide record of satisfactorily completed user/administrator training;
5. Provide up to date change control log with customer PDA approval;
6. Provide completed COOP plan and COOP test results;
7. Provide completed deployment plan with evidence of:
   a. Satisfactory infrastructure scheduled provisioning;
   b. Deployment plan acceptance by field-site deployment managers;
   c. Legacy System/Data conversion scheduling;
   d. Deployment fall-back procedure;
8. Provide updated risk management plan with mitigation strategy;
9. Refine the estimate of investment scope including:
   a. A refined estimate of project cost applied over time;
   b. A refined estimate of project duration and schedule;
   c. A refined estimate of all other required resources;
   d. A refined estimate of total cost of ownership; and
   e. A refined estimate of return on investment and cost/benefit analysis;
10. Provide statements of concurrence at Milestone 3 from Enterprise Architecture, Cyber Security and Infrastructure Management;
11. Provide a list of next steps;
12. Request for approval of milestone 3 and approval to proceed with the deployment phase and provision of requested resources;

Milestone IV – Post Implementation Review

Tasks for the Post Implementation Review include the following:

1. Provide evidence of successful deployment (or successful incremental deployment if for a pilot/prototype);

2. Provide customer PDA signoff for deployment event;
3. Provide measured values for project metrics and demonstrate achievement of performance improvements;
4. Produce other evidence of customer satisfaction (e.g. user interviews, help-desk responses etc.);
5. Provide updated risk management plan with mitigation strategy to reflect deployment experience;
6. Provide documented lessons learned and project closeout plan;
7. Provide an investment sustainment plan (for steady-state operations);
8. Refine the estimate of investment scope to reflect deployment experience including:
    a. A refined estimate of project cost applied over time;
    b. A refined estimate of project duration and schedule;
    c. A refined estimate of all other required resources;
    d. A refined estimate of total cost of ownership; and
    e. A refined estimate of return on investment and cost/benefit analysis;
9. Provide statements of concurrence at Milestone 4 from Enterprise Architecture, Cyber Security and Infrastructure Management;
10. Provide a list of next steps;
11. Request for Approval of milestone 4 and approval to turn over the deployed investment to the operations management entity;

If this Milestone-4 review is being conducted to validate the continuation of operations for an existing steady-state (legacy system) then:

1. Assure that the business (mission) need for the investment still exists;
2. Assure that the investment is competent to meet that business need (that it implements all current business rules, completely and consistently);
3. Assure that the investment performs it function efficiently, and that the customer is satisfied with the investments effectiveness;
4. Assure that the investment maintains sufficient capacity to support anticipated usage and workload increases;
5. Assure that the investment is not dependent upon obsolete technology, techniques or practices which, if they fail, would present an unsustainable risk to continued business (mission) operations.
6. Assure that the investment exploits sufficient improvements in technology to assure efficient customer operations.

Appendix D

One-VA Enterprise Architecture
Configuration Management and Change Control Procedure

Purpose

This document describes the Configuration Management and Change Control Procedure established within the Office of Enterprise Architecture Management (OEAM) for the orderly development and maintenance of the One-VA Enterprise Architecture. The procedure has two parts:

1. The Configuration Management Procedure provides version control of all acquired and developed content within the One-VA Enterprise Architecture. It provides separation of content between the various versions of the EA that are published over time.
2. The Change Control Procedure provides tractability, accountability and approval identification for all changes to the annual EA assessment products.

Scope

This procedure applies to all content within the One-VA Enterprise Architecture Repository and its derivative products. One exception is that certain detailed logical and physical data models, data schemas, data definitions, and other data constructs are managed and controlled independently by the Data Management Board, and the OEAM Data Architecture Service through the One-VA Data Registry and Data Repository. Another exception is that these entities are only represented in summary within the One VA Enterprise Architecture Repository.

Authority

The VA Chief Architect is the owner of the EA Configuration Management and Change Control Process.

The Chief Architect, the Deputy Chief Architect, and the Director, Enterprise Architecture Service approve and oversee the development of specific annual EA assessment products within the EA Change Control Process.

The Chief Architect is the Program Decision Authority for overall approval of the annual EA Assessment as delivered to OMB.

Execution

The One VA Configuration Management and Change Control Process is executed and enforced by the Director, Enterprise Architecture Service (EAS), under the direction of the Chief Architect. The Director, EAS, is responsible for building and maintaining the One-VA EA Repository and its content, and for designing and developing the EA products approved by the Chief Architect.

EA Configuration Management Procedure

EA Configuration Specification

Content for inclusion in the One-VA EA Repository is submitted to or developed by the Director, Enterprise Architecture Service (EAS). EA Repository Content may originate from the CPIC process, from stakeholder-submitted Exhibit-300 budget requests, from working sessions between EAS and various EA stakeholder, from chartered working groups, from the EAC and DMB, from IT project teams, from executive fora (such as the JEC, the BEC and the HEC), and from other related sources as well as from the research and analysis performed within the EAS .

The Director, EAS assures that EA repository Content is traceable to the content submitter and to the date of submission, within the EA Repository. Content is also edited and configured to the standards and the constraints imposed by the EA Meta-model and the repository tool. The repository tool is currently the "Caliber-RM" COTS product.

The EA Repository provides explicit and implicit versioning of all submitted content. Implicit versioning consists of programmatic sequencing of content, at the entry level, within the repository, which permits reconstructing the order in which content was added as well as the ability to roll-back any entry to any previous content state. Explicit versioning consists of manually applying an assigned version control number to all content within the repository that pertains to an identically numbered published version of the EA. Content pertaining to separate versions of the EA will appear in separately versioned instances of the repository database. Current versions of the published EA that conform to this convention are:

1. EA V4.0, published May 31, 2005; and
2. EA V4.1, published Feb 28, 2006.
3. EA V4.2, published Feb 28, 2007.

The One-VA EA Repository is also furnished with several sensitivity indicators to classify content and to regulate content exposure. These indicators are:

1. "Critical Infrastructure Protection - Sensitivity" which isolates content which, when exposed, could compromise the security of VA facilities and infrastructure; and
2. "Procurement Sensitivity" which isolates content which, when exposed, could compromise the competitiveness of a federal procurement or could create a non-competitive advantage for the viewer.

These indicators are currently under development and will be completely deployed for EA V4.3, which is planned for delivery in February 2008.

The EA Repository is restricted from containing, and will not contain, any individual veteran identification information, veteran-case information, medical or other individual information. The EA Repository and CM process will exclude all information covered under individual identity, privacy and HIPAA regulation.

EA Configuration Management Tasks

1. The Director, EAS , will assure that all content, managed under this procedure, is electronically backed-up and is electronically recoverable in the event that the supporting production hardware is inoperative.
2. The Director, EAS, will provide Intranet and Internet exposure, of the content managed under this procedure, as directed by the Chief Architect.
3. The Director, EAS, will provide a CD-Rom version of the content managed under this procedure, which is equivalent in scope to the EA material provided on the VA Intranet. This version will be made available to OMB and GAO as well as any other recipient identified by the Chief Architect.

4. When any version of the One-VA EA is retired and replaced by a later version, the Director, EAS, will assure that a copy of that version's CD-Rom product (in the form delivered to OMB) is retained in a permanent archive.
5. During the course of the year following any EA delivery to OMB, the EA Web-portal (Intranet view) of the EA repository and assessment will consist of

a) The complete EA Assessment most recently released to OMB; most recently released to OMB; and

b) The work-in-progress version that is under development for the subsequent OMB delivery. The work in progress version will be subject to continuous change without notification until it becomes the next delivered version.

EA Configuration Management Verification

Adherence to this procedure will be verified and reported as part of the annual EA Independent Verification and Validation Process.

EA Change Control Procedure

EA Change Control Specification and Tasks

The EA Change Control Procedure governs the manner in which changes to the annual EA Assessment Products are proposed, approved, and published.

The EA Change Control procedure is constrained by the annual delivery cycle of the current EA to OMB for review and evaluation. The current delivery cycle (which may be changed at any time by OMB) is detailed here:

1. The EA product development cycle begins with the submission to VA of OMB's evaluation of the previously submitted EA assessment product. This is scheduled to occur in March of any year.
2. In March, the OEAM IV&V contractor evaluates the EA that was delivered to OMB in February, and briefs the Chief Architect and the Director, EAS, on the completeness and compliance of that EA delivery
3. The Director, EAS, reviews and evaluates the OMB assessment and develops an EA improvement plan with the product improvements and omissions indicated by the OMB assessment.
4. The Director, EAS, then includes any planned improvements, which may have been developed in-house or may have been recommended, from other sources, into the EA improvement plan and then he/she develops a work plan for review and approval by the Chief Architect.
5. In April, the Director, EAS, briefs the EA work plan Chief Architect and receives direction and approval for the development of the next EA assessment. The Chief Architects approval is recorded within the EA Change Control Log.
6. From May through September the Director, EAS, is responsible for performing EA reviews of Exhibit-300 IT budget requests for delivery to OMB in the September budget-cycle, in addition to developing the next annual EA assessment.
7. In September, The Director, EAS, begins to develop an EA assessment of the new IT portfolio for delivery as part of the following Target Architecture. This amended EA assessment addresses the portfolio projects in the current budget submission. As the Portfolio is impacted by Pass-Back discussions, the Director, EAS alters the target Architecture accordingly;
8. In October, The Director, EAS, briefs the EAC on the content of the forthcoming EA delivery.

9. On December 31, the Director, EAS, delivers a preliminary draft of the forthcoming EA Product set to the Chief Architect for internal review.
10. On January 31, the Director, EAS, delivers a decision draft to the EAC and the VA CIO community for review and comment, prior to delivery to OMB.
11. On February 20, the Director, EAS, must receive all comments and corrections in order to be considered for inclusion in the OMB delivery.
12. On February 28, The Chief Architect delivers the new EA Product set to OMB. At this point, the process reiterates with OMB's assessment of the new EA product.

At any time during this process cycle, the Director, EAS, may receive additional guidance from OMB, GAO, or the Chief Architect, which may result in additional changes to the EA version being developed. Any of these products, which have been scheduled and approved for change, can be, at that time, further modified to receive these additional changes without additional coordination. However, if an additional product is involved, it must be added to the EA work plan and approved by the Chief Architect.

EA Change Control Verification

Adherence to this procedure will be verified and reported as part of the annual EA Independent Verification and Validation Process. The Chief Architect will assure that the EA Continuing Improvement Process is included within the EA products delivered to OMB, and that this product includes the related EA work plan and EA self assessment.